INDEXING AND FILING

HUDDERS

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Indexing and Filing

A Manual of Standard Practice

By

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Preface

In presenting this volume it seems desirable that a brief sketch be given covering the development in the field of indexing and filing.

Less than two generations ago the business man handled all of his correspondence from the opening of a communication to its filing, and the man who had sufficient correspondence to require the services of an amanuensis was the exception rather than the rule. The number of papers handled was so limited that the filing question was a more or less negligible one, the usual procedure being to jab the paper on a stick or spindle file, or else stow it away in the drawer of a counter or cupboard.

Since then the growth of the country, changes in conditions and new inventions have made it possible to transact business in hours and even in minutes that formerly required days, weeks, or months, and with this growth has come an enormous increase in the volume of papers to be handled. To meet the demand for better filing equipment that naturally arose with this increased volume of paper, the first systematic filing device was developed—the box file. This consisted of a box, its cover opening like a book, with twenty-five or twenty-six pages or pieces of manila paper, tabbed with the letters of the alphabet and fastened into the box at one side, the papers being filed between these sheets.

The box file was followed by the flat file, which was a development of the box file in more permanent form, the pasteboard box being replaced by a wooden drawer. The internal arrangement of the index sheets, however, remained the same with the exception that, with the increased volume of material to be handled, it was found advisable to make a finer subdivision of the alphabet, splitting it up into several draw-

ers, each containing a portion of the alphabetic divisions in sequence.

At this time the card index had been in use a number of years in public and private libraries and to a limited extent in commercial organizations, but it was as late as 1890 before any attempt was made to introduce the vertical filing of papers. Even then the organizations that looked upon the filing question as anything more than a necessary evil, to be handled as cheaply as possible, were exceptions, and the pioneers in the filing equipment field found educational work one of the important features of their business.

During the ten years following 1890, the use of the card index developed much faster than that of the vertical file, having had the earlier start, and the twentieth century had arrived before the vertical file had made any appreciable headway, and in a great many instances where the vertical file was installed the organization still retained copies of its outgoing mail in bound tissue copy books, filing only the incoming mail in the files. However, with the increased use of carbon paper as a means of duplication, together with the invention of a machine that made it possible to obtain loose tissue duplicates, the copies of outgoing letters have been gradually merged into the files with the incoming letters until the practice has become almost universal.

As already indicated, one of the stumbling blocks to advancement has been the lack of importance attached to the indexing and filing question, evidenced in many instances by the relegation of the work to the office boy—a personage whose position in an office is likely to have more occupants in a given time than any other in the organization.

Numerous dissertations have been written on the office boy and a composite of such writings might not show him up any worse or better than the average employee. The fact stands, however, that he has seldom had the requisite experience to permit him to attach sufficient importance to the necessity of careful copying of the outgoing mail (if a copy book is in use), the proper indexing of same, and the correct

filing of incoming mail. Still worse, every time an office boy leaves the organization, which is not infrequently, it means that a new boy must be broken in to the work of indexing and filing.

With the realization of these drawbacks to the utilization of the office boy as a filing clerk, came the shifting of the indexing, and subsequently the filing, to a stenographer or clerk. In instances where the stenographers or clerks had the time to handle this work in addition to their regular work the change worked out satisfactorily. In some instances, however, this work fell to the lot of an employee whose regular duties left but little time for other work, with the consequent result that the indexing and filing was never up-to-date. Whenever this occurred it not only meant delays in finding papers but in some instances occasioned direct loss of business besides the time spent in hunting for the papers.

There are perhaps individual cases where it may be advisable, owing to the confidential nature of the papers or to other conditions, to keep the filing in the hands of a stenographer or secretary, but the number of concerns that have installed the file clerk as a permanent member of their staff is increasing constantly. This tendency is indicated by the fact that schools all over the country teaching commercial subjects are establishing courses in indexing and filing, and special schools are being established where these subjects are being taught exclusively.

The general rules evolved and promulgated for the indexing and filing of papers naturally followed more or less along the lines of library practice, which was the first to be worked out. This gave a fairly good basis for business practice, but its limitations, due not to the extent of the field of knowledge but to the fact that library practice involved only certain types of files and records, precluded the use of such rules in their entirety. In fact, the records of commercial organizations differed so radically from those of the library that it was quickly found that only the basic rules or principles used in the library could be retained. This meant the establishment

of new rules to meet the conditions, some of them tried out as experiments and discarded, others adopted, though some of these apply only to individual organizations.

This volume has been written with the idea of codifying the rules covering the indexing and filing of records such as would ordinarily be found in commercial organizations. Some of its chapters are applicable to the filing of professional, semiprofessional and institutional records, but these cannot, on account of the limitations of space, be full, and it is the intention of the author to cover these more specifically in supplemental publications.

It is to be expected that there will be differences of opinion as to some of the rules and statements set forth; some of these are noted by exceptions following the text; others that are not noted may carry equal or greater weight. Omissions of this nature should not be taken as a declaration on the part of the author that such differences of opinion are negligible, the individual case under consideration being the governing factor.

It must be kept in mind in the use of this work that no two organizations, even in the same line of business, can operate under exactly the same system, and modifications or amplifications of the methods here described must be made as they are found necessary.

Acknowledgment is due the various manufacturers of filing equipment and supplies for information furnished in connection with their equipment and for the loan of a number of the cuts used in illustrating this volume.

The author is indebted to the Library Bureau and a number of the representatives of its sales organization, for many facts and valuable suggestions as well as access to their information files, making possible, in many instances, the use of concrete examples.

The author also takes this opportunity of thanking Miss Helen M. Nellis for her many helpful suggestions and for her efficient work in reviewing the manuscript of this volume.

If, in his presentation of the subject, the author has been

able to clear up some of the obscure points, and at the same time set forth the basic principles necessary to the establishment of a manual of standard practice instructions in this field, the purpose of the volume will have been accomplished.

E. R. HUDDERS.

New York City,
December 6, 1915.

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Indexing and Filing

CHAPTER I

TERMINOLOGY AND DEFINITIONS

1. Alphabeting. The final arrangement of a series of index cards, folders, or other material to be filed, in strictly alphabetic or dictionary arrangement.

2. Card System. A method of keeping track of facts, figures, names, or data of any sort by means of cards of uniform size, arranged on edge in a tray or drawer alphabetically, numerically, geographically, or any other way that will best meet the requirements.

3. Catalog. A list of books or articles contained in a collection recorded by title, subject, and author.

4. Catchword. A method of indexing developed in library work, in which, from the title of the book or article, the word or words are selected which describe or appear to describe its subject.

5. Checking. The reading of cards or index sheets against original copy to see that same has been transcribed correctly in all details. This differs from proof-reading in that a proof-reader—except when reading from copy—reads and judges almost entirely by context, whereas checking means that all details of spelling, transcription of figures, etc., must be verified.

6. Classing. Sometimes termed Grouping, is the act of arranging names, subjects, etc., in general divisions or

groups, each of which will be further divided or rearranged as required.

7. Cross Reference. The insertion of a card or sheet of paper in a file, setting forth that information regarding the title subject, or a ramification of it, will be found in such places as are designated on the card or sheet of paper.

8. In subject or information filing, the cross reference inserted in the folder is more satisfactory than carrying such references on the index card.

9. Dictionary Arrangement. The arrangement of subjects, names, etc., in absolute alphabetic sequence taking each word into consideration with the next word as to every letter the words contain, as in the dictionary.

10. The following list illustrates a series of names in this arrangement:

Banks	Bingham	Brady
Barr	Black	Brennan
Baxter	Blenheim	Brinton
Beck	Block	Brown
Beggs	Blythe	Bryce
Behrens	Boston	Budd
Billings	Boyd	Byington

11. Digest. A memorandum setting forth in sufficient detail to avoid distortion or misstatement, the essential data as contained in a paragraph, chapter, or book in relation to a certain phase of a given subject.

12. This term is used more frequently in connection with subject or information and data files, being applied in most instances to the analysis of a statement in tangible form (print or otherwise) that can be referred to if necessary.

13. Directory Arrangement. This arrangement is equivalent to the dictionary arrangement, the distinction being made that the latter would apply to single words, names,

or subjects, while the term "directory arrangement" would apply to lists of names (surnames, given names, and initials, or firm names, as found in street and classified directories) arranged according to accepted rules; e.g.:

Banks, Arthur D.
Banks, Benjamin F.
Banks, C. S.
Banks, Charles
Barr, Allan S.
Barr, Arthur F.
Barr, David
Barr Dry-Goods Co.
Barr, Ernest L.
Barr, Francis T.
Barr Furniture Co.

14. Draft Copy. The original or rough copy used to create a classification, index, or file.

15. File, Box. One of the earliest forms of filing, using a heavy cardboard box which usually opened from the side, like a book. This contained an index consisting of twenty-five or twenty-six sheets of manila paper, tabbed with the letters of the alphabet and fastened into the box at one side, the papers being filed between these sheets.

16. File, Flat. A development of the box file due to increase in the volume of material to be filed, being a wooden drawer with tabbed sheets fastened in one side of the drawer as in the box file, but usually only containing a portion of the alphabet to a drawer, same being more closely subdivided.

17. File, Vertical. This, as its name implies, is so constructed as to allow papers, cards, or other materials to be filed on edge, either with or without the use of guides and folders.

18. These files vary in size according to the size of the records to be filed, the volume of material to be handled governing the number of file drawers or cabinets used.

19. Filing—Abstract Method. Each letter or paper received or sent is given a number in consecutive order, and

a synopsis of the letter or paper is written in a book register under the date and number of the letter. (Obsolete.)

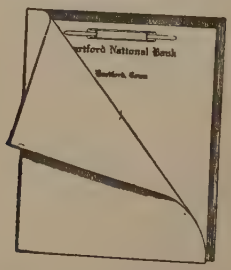
20. Folders. As used in vertical filing this is a sheet of paper or card stock (usually manila or fibre) folded over once, leaving three sides open, the fourth side (at the fold) becoming the bottom of the container. The front flap of the folder is usually a half inch lower than the back flap.

21. Folders, Straight-Edged. As the name implies, these folders have a straight-cut edge at top of both front and back flaps.

22. Folders, Tabbed. These folders have a projection or tab at the top of the back flap, on which is written the title, subject, or name applying to the contents of the folder.

23. Folders, Expansion. Also known as Accordion-Pleated Folders, have additional folds at the bottom allowing for the filing of a greater volume of papers than would be possible in the regulation folder.

24. Folders, Binder. A folder made of heavy stock having a compression spring clip on the binding or fold side, or else a fastening device that will permit of papers being fastened into the folder either temporarily or permanently.

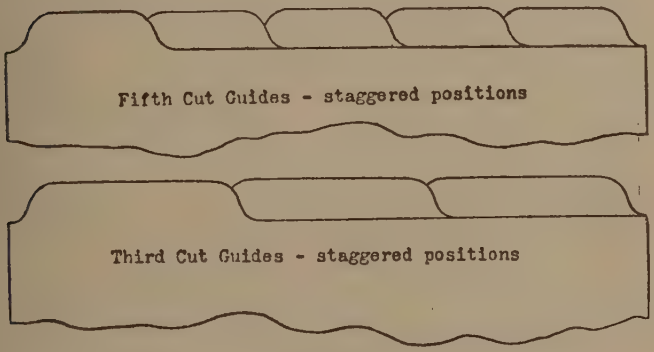


25. Follow Block. A movable partition, either metal

or wood, placed or fastened in a card index or vertical file tray or drawer, adjustable so as to support the material in a vertical position.

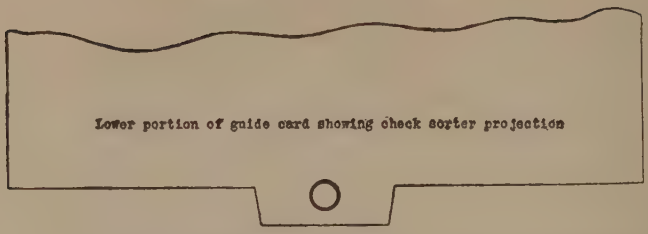
26. GUIDES. A guide is a piece of paper, cardboard, pressboard, or metal having a projecting tab above the body size of the guide, the tab carrying a written or printed designation for the purpose of indicating the material filed behind the guide.

27. When guides are used with the tabs or projections in different positions, each position succeeding the previous one from left to right in a given number of positions, the arrangement is designated by the term "staggered positions."



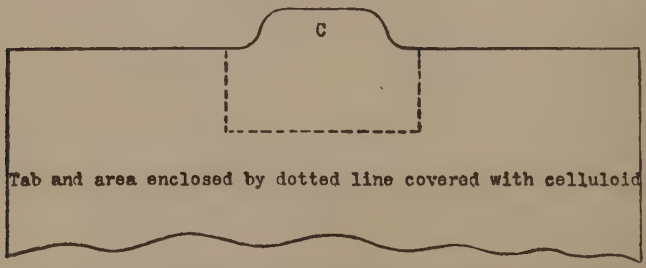
28. The tab positions of guides are determined by the number of times the width of the projection will divide into the width of the guide card. Third-cut guides will give three positions of tab; fifth-cut guides, five positions, etc.

29. Check-sorter or rod projection on a guide is the portion of the guide extending below the body size of the guide, eyeleted to permit of a rod being run through the eyelets of all the guides in a drawer so as to hold the guides in place.

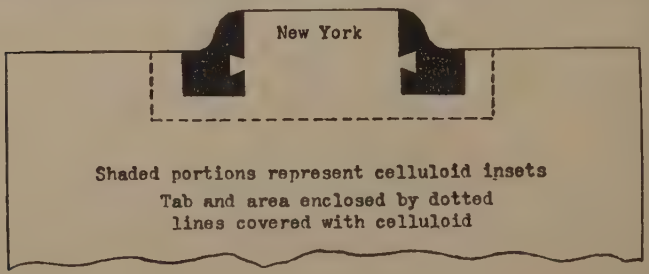


30. Celluloided guides are the same as the guides described in § 26, excepting that the tab projection and the adjacent portion of the body of the guide is covered, front and back, with transparent celluloid after the tab of the guide is printed, the celluloid being cemented to the guide stock.

31. This reinforces the guide at its weakest point so that it will outwear the plain guide three or four times over, and at the same time it prevents the soiling of the tab in handling.



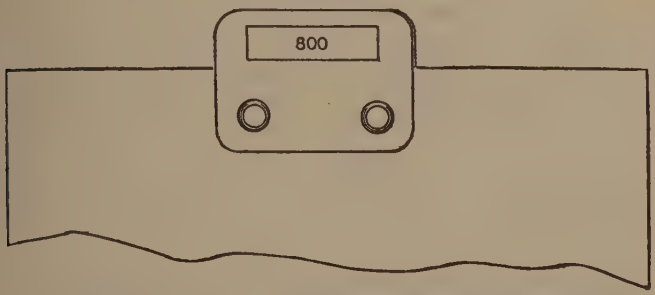
32. Inset celluloided guides are provided with two shoulders of solid celluloid dovetailed into the guide projection



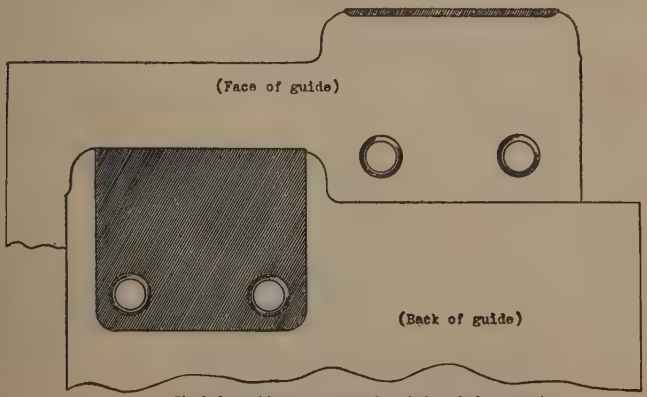
over which the transparent celluloid covering is cemented, making the most durable guide of this type on the market.

33. Opaque celluloided guides are made up in the same manner as the regular celluloided guides, with the exception that opaque celluloid is used to provide a writing surface that will allow changing of the designation written on the tab.

34. Metal-tip guides are usually made with the body of pressboard stock, the metal tip or label holder being riveted to the top edge of the guide so as to permit of the insertion and removal of a label as desired.



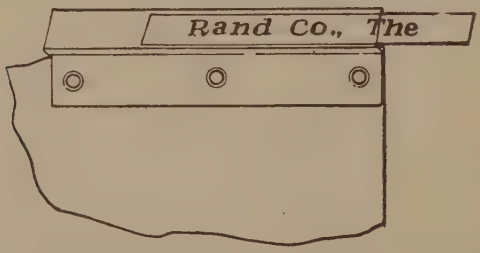
35. Another form of metal-tipped guide is made with a



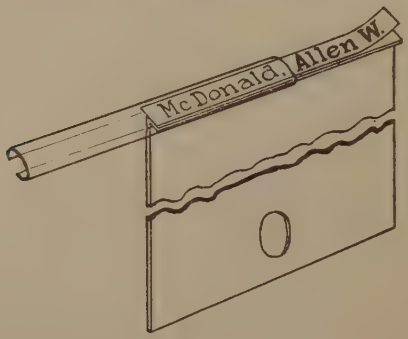
Shaded portions represent metal reinforcement

piece of metal riveted to the back of body of the guide and folded over the top edge of the tab projection, making it a metal reinforced guide rather than a metal-tipped guide. A slip bearing the title required is pasted on the tab of the guide, changes being made by pasting a new label over the old one.

36. Angle-top guides, when made with the body of card stock, have a celluloid projection riveted to the top edge in place of the regulation tab, so formed as to permit of the insertion of the designating label. It is then possible to read the title when looking directly down upon the cards.



37. A similar guide is made of all metal, the designating label being covered with a celluloid sheath, permitting the changing of the labels when desired.



38. GUIDING. The insertion of guide cards at proper intervals so as to render a series of cards, folders, or other material accessible from the standpoint of quickest reference.

39. INDEX. "An index is an instrument of search for specific information irrespective of the form of literature embodying it."*

40. An index may be made up in various forms—bound or loose-leaf books, cards, or paper slips filed the same as cards.

41. INDEX, BOOK. (1) An index in book form. (2) An index to the text of a book, usually included as a part of the book.

42. INDEX, "BURR." A bound-book index, alphabetically arranged with indent-cut pages to indicate such alphabetic divisions; each page is printed with the first three or four letters of the names that would be entered on that page, starting with the top line and repeating the same designation on succeeding lines as many times as experience has shown necessary.

43. In each instance the balance of the name or title is filled in with a pen. This form of index does not afford the same flexibility the card index does, as there is no way in which it can allow for additions in strict dictionary arrangement.

44. INDEX, CHART. In some instances, owing to the small number of names or items to be listed, they are arranged in some arbitrary order, alphabetic, geographic, topic, etc., on a card or sheet of paper which is kept in some convenient place for reference. (See also "Index, Visible Type," § 52.)

*New York State Library Bulletin No. 3, page 7.

45. Index, Phonetic. Where the vowel index brings together names or subjects in which the first vowel is identical (see § 53), the phonetic index brings together names sounding alike when pronounced, the spelling being different.

46. To illustrate—one spelling of a certain name having a number of variations would be accepted as a standard, all the variations being filed as though spelled the accepted way.

47. In some instances the standards have included names having the prefixes, O', Mc, Mac, etc.:

Connor	Neil	Reilly
Connors	Neill	Riley
Conner	O'Neill	Rily
O'Connor	McNeil	O'Reilly

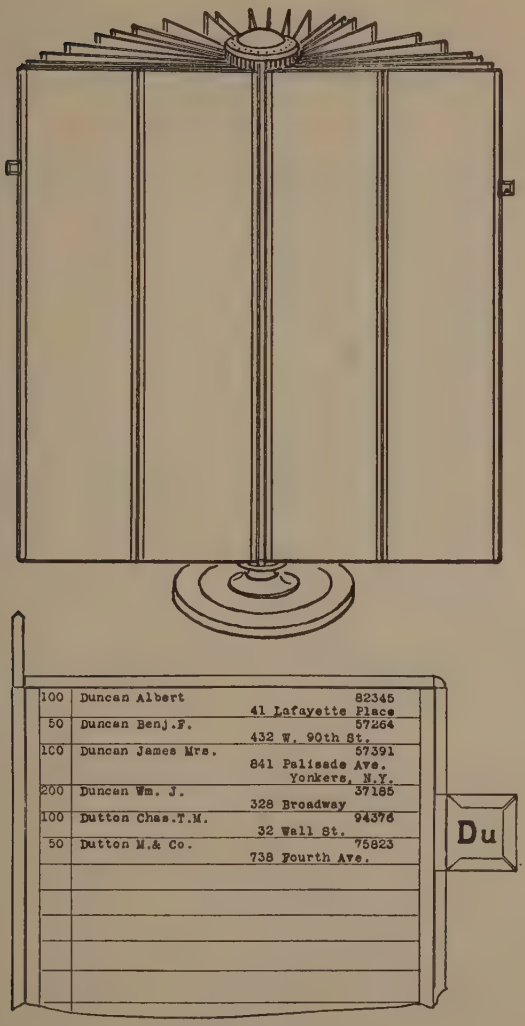
48. The value of this form of index is evident principally in charity organization lists, where the applicant for relief spells the name a different way every time a call is made upon the organization for assistance.

49. Some insurance companies have adopted this method of filing the cards indexing policy-holders, on account of the variations in the spelling of common names.

50. Whenever this form of index is used, either as a basic method, or as an auxiliary written within some other type of index, it will be necessary to file a cross-index card under each variation referring to the accepted spelling.

51. In addition to this, a list should be maintained showing the accepted spelling as a heading, with the variations listed under it.

52. Index, Visible Type. An arrangement of cards or slips in a metal frame, or series of frames, so that either all or a portion of every card or slip in the frame is visible, at the same time permitting the insertion of additional slips or cards in their proper sequence.



Visible Index Frame.

53. INDEX, VOWEL. An index which arranges the material, names, subjects, etc., primarily according to the first letter of the word and then according to the first vowel that follows, disregarding all intervening consonants.

54. Taking names starting with B as an illustration, we find a distribution reading:

A	E	I	O	U	Y
Banks	Brennan	Bingham	Brown	Buck	Byington
Black	Beck	Brinton	Boston	Budd	Blythe
Brady	Blenheim	Billings	Block		Bryce
Barr	Behrens		Boyd		

55. This method evidently originated in connection with the use of the bound index which allowed a page or two to each letter of the alphabet, and was resorted to in order to accomplish some further distribution than obtained by the first letter of the word.

56. An analysis of the illustration given in § 54, and a comparison with the same names listed under dictionary arrangement in § 10, will show the weak points of the vowel index, particularly as to its lack of arrangement, requiring the eye to run down the entire column to get a name that should be at the top of the list if properly arranged.

57. INDEXING. The tabulation of specific information on an index (book, card, or other form), indicating where material relating to the individual or subject can be found.

58. INDEXING, CROSS-. The insertion of an additional card or entry under another heading referring to the place in which material on the subject or related subjects can be found, citing the subject under which it has been indexed.

59. INDEXING, SUB-. The arrangement of subtitles on an index card or sheet showing the subdivisions of a file,

all of these subtitles being cross-indexed as illustrated on page 36.

60. Inversions. Transpositions of the words or names composing a subject, title, or name in order to emphasize the most important phase. This practice is almost universally used in making up indexes containing names of persons. (See Chapter III, "Rules for Writing Indexes.")

Original Arrangement	Inverted
Bar Iron	Iron, bar
Galvanized Iron	Iron, galvanized
Pig Iron	Iron, pig
Sheet Iron	Iron, sheet

61. When inversions are made, the inverted terms should be arranged in alphabetic sequence whenever possible.

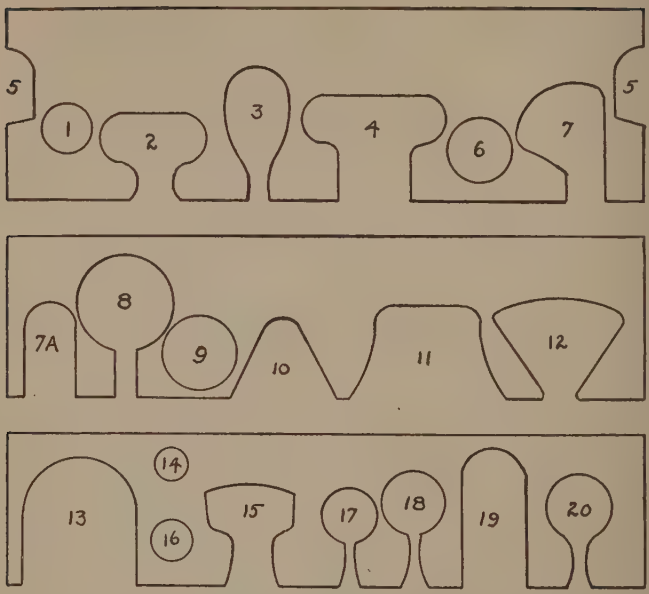
62. Notation. A method of representing subjects, their divisions, and ramifications, by signs, symbols, letters, numerals, or combinations of any two or more of them.

63. Point Measurement. Paper and card stock is gauged as to thickness in points, a point being equivalent to one-thousandth of an inch.

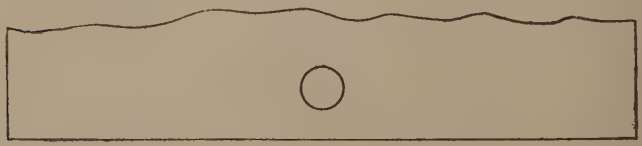
64. Type is measured by points, a point in this case being equivalent to one seventy-second of an inch.

65. Ruling of paper is measured by points, a point being equivalent to one seventy-second of an inch, the same as type measurement.

66. Punchings. When rods are used in the trays in card-index position, the cards and guides must be punched to conform to the style of the rod used.



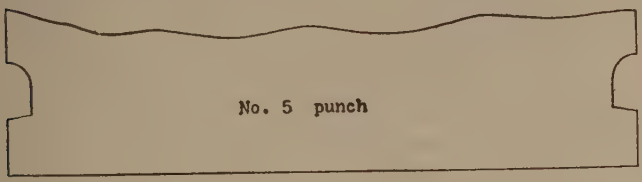
67. The centers of circular punches 1, 6, and 9 should be in the center of the card 1 centimeter or ⅜ of an inch from the bottom edge.



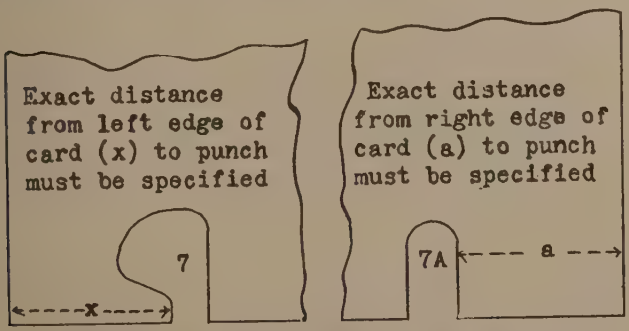
68. Punches numbered 2, 3, 4, 8, 10, 11, 12, and 15

(also 7A when used alone) are centered at the bottom edge of the card.

69. Number 5 punches occupy positions on the ends of the card, the bottom of the punch being about 3/8 of an inch from the bottom of the card.



70. Number 7 and 7A punches are used together for offset ledgers, and are placed as shown below, the 7 punch to the left and the 7A punch to the right, measuring the distance from the nearest side, this measurement varying according to the size of the card or sheet.


Exact distance from left edge of card (x) to punch must be specified
7
x
Exact distance from right edge of card (a) to punch must be specified
7A
a

71. Number 13 and 7A punches are used together, the 13 punch taking the place of number 7.

72. Punches numbered 14, 16, 17, 18, and 19 are loose-leaf-binder punches, their location depending upon the size and make of the binder used.

73. Reading. Verification that the material (cards, sheets, etc.) has been made up and filed in proper sequence, both from the standpoint of grouping, and the arrangement within the group.

74. Register. A record (book, cards, or sheets) in which the subject matter (names, data, etc.) is entered in numeric or chronological order. It is comparable to the accession book or record used in libraries.

75. Rod. A piece of wire or rod, about ⅛ of an inch in diameter, used in card index trays to hold both cards and guides in place.

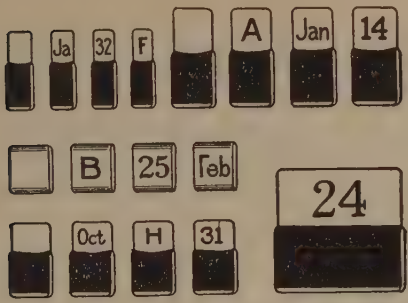
76. In vertical files for correspondence and other material, the rod sets below the level of the flooring of the drawer and only holds the guides in place by means of the check-sorter projection on each guide. A rod placed in the card-index position in a file for correspondence or similar material would mutilate the papers filed.

77. Besides the round rod described above, there are several types of special rods, requiring special punching of cards and guides, such as the drop fold, duplex, expansion, and crescent expansion.

78. Unless the file containing the cards is a reference file, such as the index in a public library, it is better practice to use no rods except in files where the rod is placed in the check-sorter position.

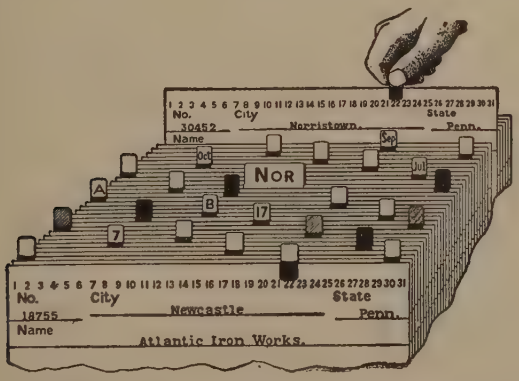
79. Signals. A small metal clip having compression-spring jaws to grip the edge of the card or sheet, a portion of each clip projecting above the top edge of the card when attached to it.

80. These are used to indicate a certain classification of the material, or that the subject matter on the card requires attention either immediately or at a certain date.



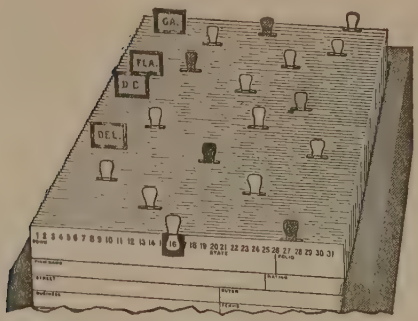
81. The method of using signals will differ according to the object to be accomplished, e.g.:

(a) Classification can be accomplished by the use of different-colored signals, a given color representing a certain group.



(b) Divisions of such groups can be indicated by establishing a fixed position for the signal to be placed.

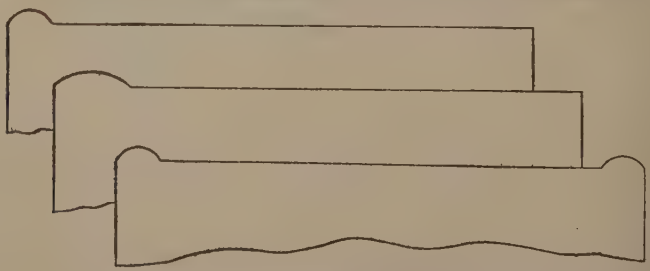
(c) Follow-up work can be handled by having the cards printed with the months of the year or the days of the month along the top edge, the signal being set to the day or month the card requires attention.



82. When signals or markers of any kind are used, a card should be inserted in the front of the tray containing the cards, indicating how such signals are used and what they signify, if such designation is not printed on each card.

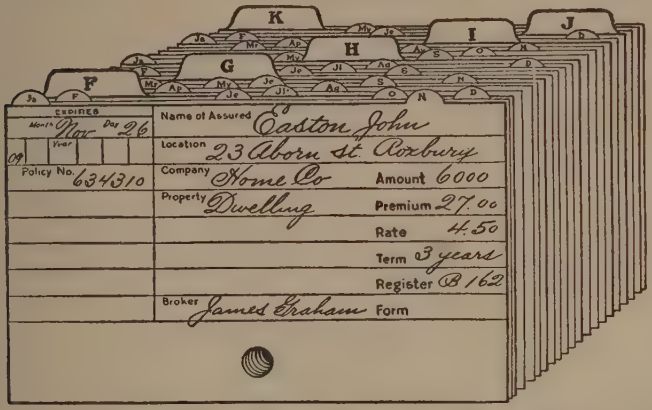
83. Sorting Tray. A receptacle fitted with guides or compartments so arranged as to serve for the sorting of the material to be filed according to the general divisions maintained, alphabetic, numeric, geographic, or according to the contents of the file drawers.

84. Tab Cards. A card having one or more immovable projections (part of the card) above the top edge of the card, such tabs being used to develop certain classifications independent of the arrangement in which the cards stand.

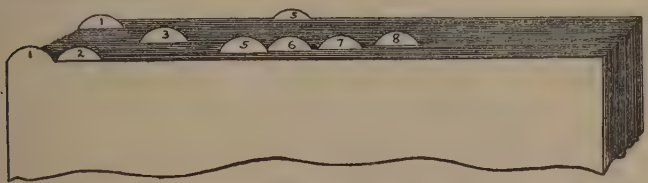


85. The use of the tab card varies with the nature of the record, some of its uses being:

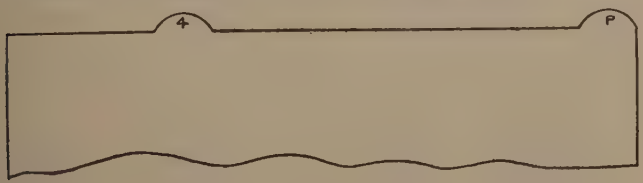
(a) To indicate the month of expiration of life and fire insurance policies, magazine subscriptions, contracts, interest accruing on stocks, bonds, and mortgages.



(b) To classify the names or subjects appearing on the cards so that the cards may be arranged alphabetically or otherwise, and still be available by selection of the tabs for a certain class.



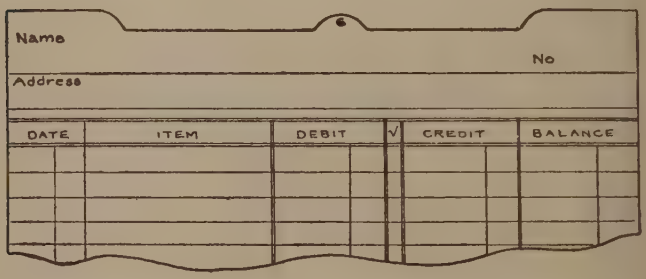
(c) In sales records to classify by lines of business, also to indicate prospective customers and follow-ups.



86. Tab Cards, Serrated. Cards tabbed in the manner indicated in the illustration given below are known by this name.

87. These are used for listing of names or subjects under various classes applying to the one name or subject, the tabs that do not apply being cut off.

88. Tab and Shoulder Card. This type of card is used for ledger cards, stock record cards, etc., where the cards receive heavy handling, the shoulder protecting the tab to some extent.

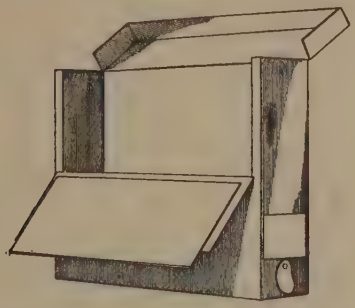


89. Throwing. The first or rough sorting of cards or other material to general divisions, alphabetic, numeric, geographic, or other arrangement. From this rough arrangement they are reassorted into exact sequence.

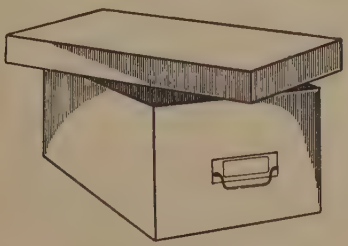
90. Transfer Box—Pamphlet Type. This is a heavy

cardboard box with a hinged top and side, in the larger sizes usually made with wood ends to give stability.

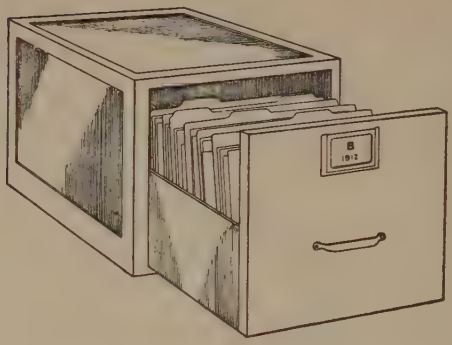
91. Pamphlet boxes should be used when the floor space is limited, as they can be put on shelving along the walls and partitions as high as may be desired.

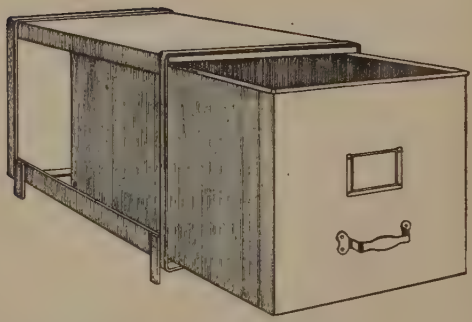


92. Transfer Box—Shoe Box Type. As its name implies, this is a box having the required dimensions as to height and width, fitted with a cover that can be lifted off. The objection to this style of box is the necessity of removing all boxes above the one to which access is desired.



93. Transfer Drawer. A unit-built case of wood or steel, consisting of an outer shell and a drawer that fits into it. These are constructed so that they can be stacked one upon another and made into a rigid stack by bolting together.





94. TYPING. The actual work of typewriting names, addresses, data, etc., on cards or sheets.

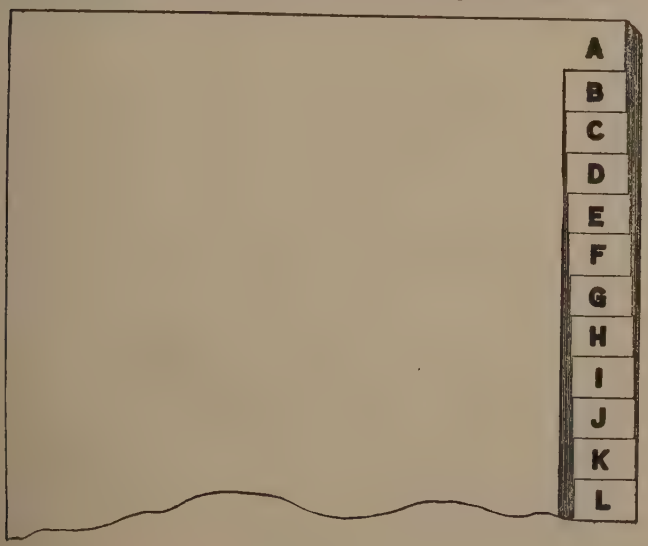
CHAPTER II

INDEXES

95. Indexes vary radically in form, arrangement, and size, depending upon the class of records they cover, the amount of subject matter to be recorded, how referred to, and the frequency of such reference.

96. In form, an index may be a bound or loose-leaf book, a series of cards or slips arranged in card index trays, or else in frames with a number of cards or slips visible at one time.

97. Bound-Book Index. Following the principle of the index in printed volumes, the first development was the in-



sertion of ruled sheets with indent-cut pages or tab projections for the divisions of the alphabet, these pages being bound permanently into the book such index covered.

98. This type of index is still used in tissue-copy letter books, bound ledgers, minute books, and other records of similar character.

99. Owing to the necessity of turning constantly from the entry to be indexed to the index itself in order to make the record, the next step was to separate the index from the book containing the record.

100. The index was still retained in arbitrary bound form, with one or more pages to each letter of the alphabet, varying according to the number of entries it was anticipated would be required.

101. Loose-Leaf Indexes. With the advent of loose-leaf books, two methods of indexing developed:

102. The first method, following the lines of the bound index, simply allowed expansion as far as the main divisions (usually letters of the alphabet) were concerned, affording no opportunity for insertions, except in a limited way, unless the entire page was rewritten.

103. Such indexes usually contained only the names, subjects, or references, indicating by volume, page, or paragraph numbers where the data or material referred to could be found.

104. The second method filed the material itself in the exact arrangement of the index, inserting the pages containing the records between guide sheets that were either tabbed or indent-cut, and printed with alphabetic or other designations as desired.

105. This latter method is in use today in all styles of loose-leaf books, from the pocket memorandum book to the ledger.

106. In common with the bound-book index, this permits of reference in rapid succession to as many names or items as appear on a given page.

107. Card Index. The development of the card index showed such flexibility in the method that it superseded both bound and loose-leaf books in such fields as indexes to ledgers, minutes, correspondence files; also in direct records such as sales, purchase, and manufacturing data.

108. Such indexes were almost invariably made up in unit form, i.e., one name or subject to a card, the cards then being arranged in such sequence as might be desired.

109. This permits the addition of new items in their proper places without disturbing the sequence as established. With few exceptions the card index has proven the most satisfactory form of index.

110. These exceptions are usually found to be instances where it is desired to consult by comparison a number of names or items of a given group without taking the time to turn from one card to another; while the unit form permits the examination of only one card at a time unless removed from the tray and spread on a desk or table.

111. Visible Index. The effort to combine the flexibility of the card index with the visible page feature of the bound or loose-leaf index, resulted in the development of the visible form of index. (See illustrations under § 52.)

112. This is made up of a series of one or more metal frames hinged or pivoted to a portable stand or attached to a wall bracket, permitting these frames to turn like the leaves of a book; or else with the frames arranged in the larger-size card index trays as multiple units in the same manner as cards.

113. These frames vary in height according to the number of names or items, the width usually allowing for the writing of a line a little less than five inches long.

114. The strip containing the name and address or other data is inserted in its proper sequence, each strip corresponding to an entry of one or more lines in the bound or loose-leaf types of index, or the subject matter on one card in the card index.

115. This method allows for the addition of new material and the removal of obsolete matter comparable with the card index, at the same time providing the one feature that commended the book form of index to a great many users.

116. It is not anticipated that the visible index in any of its forms will ever supersede the card index, as limitations present themselves the minute an effort is made to use it in connection with any record requiring the notation of various items from time to time, such as records of sales, purchases, etc.

117. The field in which the visible index will give the best service will be in lists of names and addresses, or materials, required for quick reference, such as customers' lists in credit departments, telephone directories, standardized lists of materials, and similar records.

CHAPTER III

RULES FOR WRITING INDEXES

118. "Rules are needed for index making in order to obtain uniformity, but the mode of working must to a large extent be left to the indexer." (Wheatley.)

119. The process of establishing an index (alphabetic), no matter how small, necessitates a certain amount of labor being done to insure a satisfactory piece of work when completed.

120. The steps necessary to accomplish this may be described as follows:

(a) Preparation of copy
(b) Selection of stock to be used
(c) Copying by hand or on typewriter
(d) Checking for all points
(e) Corrections
(f) Throwing
(g) Alphabeting
(h) Reading
(i) Guiding

Cards for Indexing

121. Cards for indexing or record work should be selected for the particular use to which they are to be put, considering same from the standpoints of quality, color, size, weight, ruling, form, and permanency of the record.

122. Quality of Stock. This will depend upon the na-

ture of the record, its permanency, and how much handling the card will receive.

123. For records of permanent nature or those subject to constant handling, the best grade of linen card stock should be used.

124. For records of transient value a cheaper grade of card stock can be used, but it should be a solid stock and not an index bristol, which is usually a stock built up to a given thickness by a process of pasting sheets together and subjecting them to pressure.

125. For indexes to stencil lists where the impression is taken from the stencil on the card, a soft-finished card should be used as the hard-finished stock found satisfactory in handwritten records does not absorb the ink rapidly enough to prevent blurring of the record.

126. Weight or Thickness. This will depend upon the quality of the card used, it being possible to use a much lighter weight card in a good grade of stock than in the cheaper grades, thereby saving filing space.

127. The weight of the card used will also depend upon the way the cards are written. Using the standard makes of typewriters, satisfactory results can seldom be obtained with card stock over 7½ thousandths of an inch thick. If the cards are written by hand or on one of the flat-bed typewriters, the thickness of the card need not be considered from this standpoint.

128. Whatever thickness is adopted at the start should be maintained throughout the entire record, as two thicknesses of cards in the same trays will materially decrease the efficiency in handling.

129. Color of Cards. In instances where the operating system is not dependent upon a definite color scheme to distinguish classes of records, it is recommended that buff-col-

ored cards be used, as there is less refraction of light from the buff than from the white cards.

130. When necessary to maintain a color scheme, preference should be given in the following order: buff, white, salmon, blue, green.

131. Uniformity of Size. This is absolutely essential, as any variation in size decreases the efficiency in handling. A low card between two higher ones is bridged by the fingers and lost.

132. Standards of Sizes. While the size of the card used is frequently governed by the number and volume of the items to be recorded, it should be constantly kept in mind that:

(a) The increase in the size of the card decreases the speed with which the cards can be handled.

(b) The manufacturers of cards have established certain standard sizes conforming to the sizes of cabinets on the market carried by various filing-equipment houses. Deviation from such sizes means special equipment and additional expense.

133. Form of Index Card. The form of index card illustrated in this chapter for indexing purposes, may not prove satisfactory in every instance, but it has been found satisfactory in the average commercial organization and to a large extent in the technical and professional fields.

134. Inks. For handwritten cards a non-copy, fluid blue ink, turning black as it ages, will be found the most satisfactory. Coal black or aniline inks should not be used, as they tend to destroy the sizing of the paper causing the ink to spread and blur.

135. If colored inks are used for any reason, care should be taken to see that they are non-copying.

136. Typewritten Cards. When all or part of the record

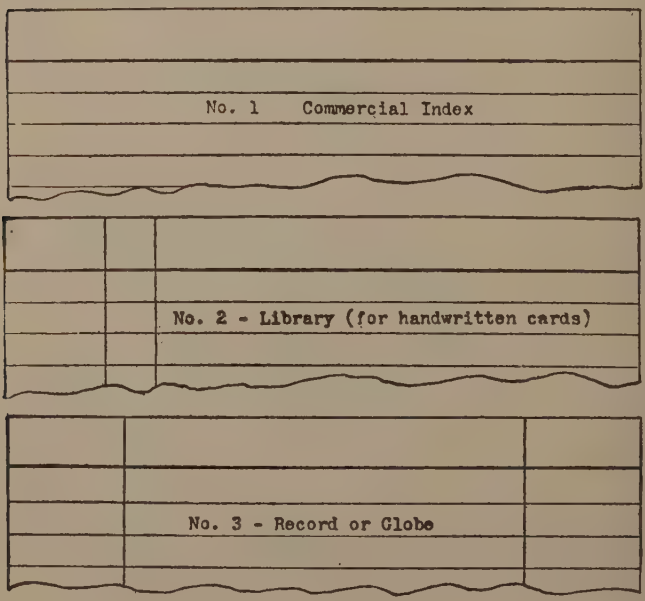
is typewritten, a *record* ribbon, preferably black, should be used. A copying ribbon will blur and smudge, therefore should not be used for card work.

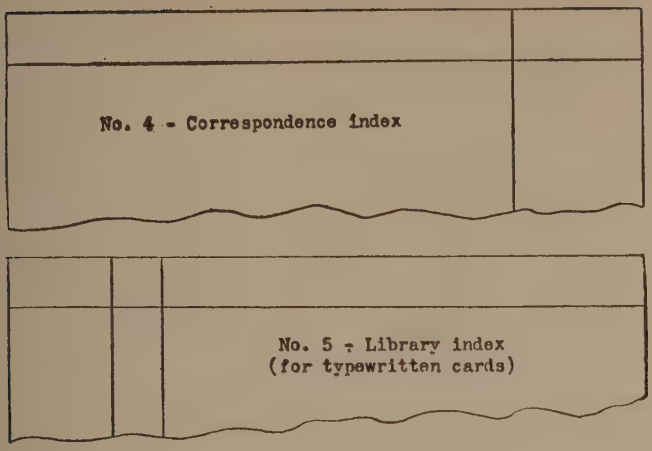
137. If cards are ruled, care should be taken to see that the ruling is 12 points (6 lines per inch) for single-space typewriting, or 24 points (3 lines per inch) for double-space typewriting.

138. Allowance should be made for the first line at the top of the card to be at least 24 points (approximately ⅓ of an inch) from the top edge.

139. Standard Rulings of Cards. Certain styles of rulings have been standardized by manufacturers and dealers in card index supplies, and are usually carried in stock.

140. These rulings are designated as follows:





Indexing Rules

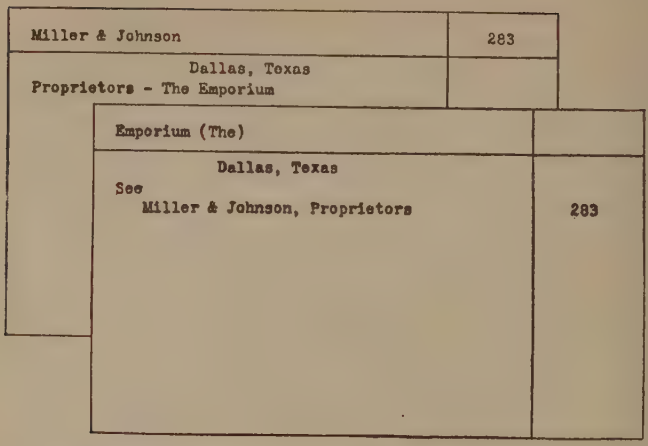
141. *Do not abbreviate names, subjects, or other matter that might cause misfiling.*

142. James and Joseph Miller are two different persons, but when abbreviated to Jas. or Jos. in handwritten records, one might be taken for the other.

143. Numbered Index Cards. Whenever the regular numeric system is employed, numbered cards should be obtained from the manufacturer, as the consecutive numbering of cards before they are used affords less chance of error in assigning numbers to the files.

144. Main Index Card. If the paper to be filed presents more than one title or subject, it should be indexed both ways. The first index card written would cover the most important title or phase of the subject, and is termed the main index card. (See first illustration, page 32.)

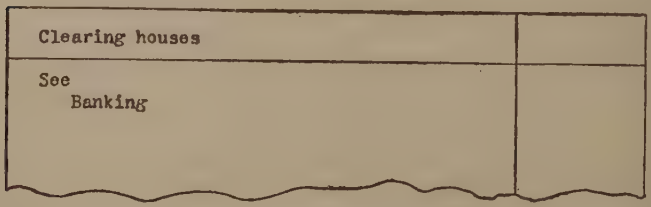
145. Cross-Index Card. Additional cards are written to enable anyone referring to the index to find papers pertain-



ing to a certain name or subject that may be filed under some other heading.

146. In writing cross-index cards, the file number should be put below the horizontal title line, thus indicating that the material will be found in a file under another title.

147. When the word "See" is used in indexing, it indicates that the material relating to the subject title of the card, or preceding the word "See," will be found under the title following; e.g.:



148. The use of the words "See also" indicates that additional material on the subject, or in relation to it, will be found under the headings or titles following these words; e.g.:

Insurance	10
See also Workmen's compensation	

Arrangement of Subject Matter on Index Cards

149. Names of firms, corporations, and institutions should be arranged as written. When the article "The" is a part of the title, it should be put at the end of the title in parentheses.

Adams, Johnson & Carter Co. (The)	145
Schenectady, N.Y.	

150. When the first name of a firm or corporation is the full name of an individual, the arrangement should be made considering first the name of the individual and then the second part of the firm name (either surname or descriptive).

Graves, Robert A. & George B. Wilson	110
Mitchell, Charles F. & Sons	208

151. Titles such as "Dr.," "Mrs.," "Miss," "Prof.," should be written after the given name and initials, and be enclosed in parentheses.

Anderson, Frederick D. (Dr.)	
1828 Broadway, New York City.	

152. The titles "Junior," "Senior," or their abbreviations, "Jr." or "Sr.," "1st," "2nd," "3rd," should be treated as part of the name, and not put in parentheses or brackets.

Smith, Henry D. Jr.	152

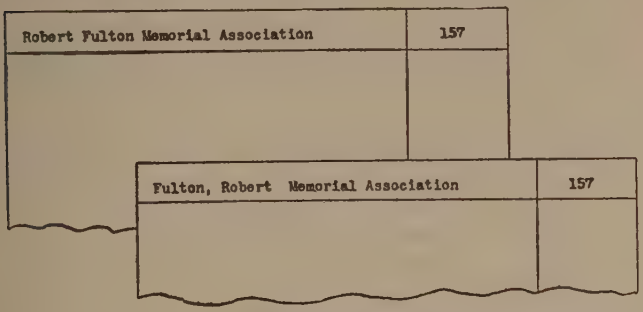
153. When the word "Incorporated" or its abbreviation "Inc." follows the name of an organization, it should be enclosed in parentheses and should be disregarded when filing the cards.

154. *Exception.* If there are two cards to be filed, one carrying the name of an individual, the other that of a corporation, both identical except that the latter carries the suffix "Incorporated" or "Inc.," the card of the individual would precede that of the corporation.

155. "Limited," or "Ltd.," following the name of a stock company, is considered as part of the title and is not put in parentheses.

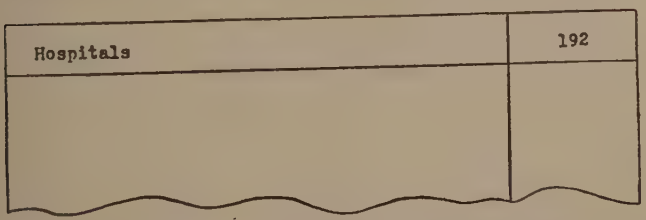
156. The French articles "*La,*" "*Le,*" "*Les,*" the Italian "*El,*" "*Di*" and the Spanish "*El,*" "*La,*" "*Los,*" "*Las,*" are treated as a part of the surname or title, except in instances of phonetic indexes which drop the prefixes.

157. Names of libraries, societies, institutions, and corporations beginning with the given name of an individual, are indexed both ways, two cards being written as shown below.



158. In opening a subject file it frequently occurs that the material at hand may be small in volume but at the same time cover various ramifications of the subject.

159. In such instances all of the papers can be placed in one folder and indexed under the subject designated.



160. A subject having several divisions should be arranged one division to a folder, in which case the main index card should be amended to read as shown in first cut on page 36.

161. When the number of divisions to be recorded is greater than the card will accommodate, an additional card should be written as shown in the second illustration on page 36, the

Hospitals	192
Dispensaries	192 - 1
Tuberculosis	192 - 2
Eye and Ear	192 - 3
Throat	192 - 4
Ruptured and Crippled	192 - 5
Sanitariums	192 - 6
Sectarian	192 - 7
Presbyterian	192 - 7 a
Methodist	192 - 7 b
Jewish	192 - 7 c
(see next card)	

Hospitals (2)	192
Skin and Cancer	192 - 8

Dispensaries	
See Hospitals	192 - 1

first card being marked at the bottom in parentheses "see next card."

162. Each one of the subdivisions should be cross-indexed under its title, as shown in the third illustration on this page.

163. Departments of organizations may be handled in the same manner as divisions of subjects, as described in §§ 158 to 162 inclusive.

164. When cards are written for new names or subjects, the date of the first paper filed should be put on the card in the lower left-hand corner.

165. This will save time for the file clerk and others in looking up transferred material, as a definite date is indicated as the starting point of the file.

166. When the address to be noted on the records includes the designation of the exact location in the town or city by name of the building, or the street and number, preference should always be given to the street and number as the Post-Office Department always designates by the latter method.

167. When the address carries more than one number select the lowest number and index by that; e.g.:

Smith Hardware Company,
910-922 Market Street,
Philadelphia, Pa.

would be indexed under the address, 910 Market Street.

168. When writing index cards for local correspondents, do not use the designation "City" following the street address, but write the name of the city or town out in full.

169. The foregoing rule may seem a step backwards, and towards inefficiency, but a great many mailing lists have been rendered incorrect due to the removal of the organization from one city to another. The term "city" always applies locally, while the designation of the town by its name would hold good in every instance.

CHAPTER IV

RULES FOR FILING INDEX CARDS

170. Arrange all cards in dictionary order, maintaining the sequence of letters to the last letter of the name or word.

171. In filing proper names, each name should be considered in its turn—first, the surname, then the given name or first initial, then the subsequent names or initials, if any.

172. Where the surnames are all different, the surnames are the only factor to be considered in filing the cards.

173. If a duplication of surnames appeared it would be necessary in such instances to take into consideration the given names and initials in their order; e.g.:

Carter, E. N.
Cartwright, D. E.
Carver, G. E.
Carver, George A.
Centaur, A. D.

174. Given-Name Initials. When there is a duplication of surnames, some carrying only initials and others carrying the given names, the ones with initials should be filed ahead of the given names having the same initials; e.g.:

Jones, E. L.
Jones, Edward B.
Jones, Frank
Jones, Frederick E.
Jones, H. Wilson
Jones, Howard A.

175. Given-Name Compounds. Regardless of the method of filing, given-name compounds should be treated the same

as a single name; e.g.: "Le Roy" would be filed as though spelled "Leroy."

176. When a number of cards bear the same name with variation in address, these cards should be arranged alphabetically according to towns, the state being considered only when there is a duplication of the town name, e.g.:

Western Foundry Company, Birmingham, Ala.
Western Foundry Company, Connellsville, Pa.
Western Foundry Company, Newark, N. J.
Western Foundry Company, Newark, Ohio.
Western Foundry Company, Pittsburg, Pa.
Western Foundry Company, Savannah, Ga.
Western Foundry Company, Wilmington, Del.

177. Surnames or single titles when used alone should be arranged to precede the same surnames having initials or given names.

178. Abbreviations, when they occur, should be filed as though the word or name was spelled out in full; e.g.:

Wm. filed as William
Jos. filed as Joseph
Jas. filed as James
M' and Mc as though written Mac
St. Louis as Saint Louis
Ste as Sainte
S. as Sanctus

179. *Exception.* In some instances the manufacturers of filing supplies have provided an entirely separate guide or series of guides for the Mc names, the arrangement made so as to precede surnames beginning with M. When guides are used carrying this arrangement it will be necessary to disregard the rule set forth in the preceding paragraph.

180. Such words as "and," "of," "the," "for," are not considered in filing; e.g., cards for The Miller-Denton Mfg.

Co., Miller, Davis & Co., and Miller & Dawson would be arranged:

Miller, Davis & Co.
Miller & Dawson
Miller-Denton Mfg. Co. (The)

181. Titles are disregarded in filing unless there is a duplication of names, one bearing a title; in such instances the one without the title is filed first:

Fowler, Andrew W.
Fowler, Andrew W. (Dr.)

182. Prefixes to surnames are considered as part of the name and filed accordingly:

De Porry	Le Brun, F.	Oberly, J. W.
Deppe, J. A.	Leclanche Batteries	O'Brien, A. F.
De Prado, A. F.	Le Compte, E. H.	Ocean S. S. Co.
Derby, A. L.	Leddy, A. G.	O'Connor, F. L.

183. Apostrophe s ('s), indicating singular possessive, is not considered in filing; e.g., "White's" is filed as though it was written "White."

184. S apostrophe (s'), indicating plural possessive, is filed as written; e.g.:

Boy Scouts of America
Boys Club
Boys' Life

185. Compound Names and Words. Compound geographic names are filed treating the compound as one word, e.g.:

Newburg
New Jersey
New London
Newton
New York
Perth Amboy
Plainfield

186. Compound proper names should be filed treating the compounds as distinct names, disregarding the given names or initials except in instances where the compound is duplicated with variation in the given name or initials.

Due to the improper use of the hyphen in place of the comma, two or more distinct names have been developed into a compound that did not exist; therefore the treatment in accordance with this rule will usually prove the most satisfactory.

187. While it is permissible to file hyphenated words as two distinct words for the same reasons as set forth in §186, preference should be given to the treatment of such combinations as one word, e.g.:

Co-operative filed as Cooperative.
Fiber-board Manufacturing Company filed as Fiberboard Manufacturing Company.
Inter-state filed as Interstate.
Pan-American filed as Panamerican.
Re-new filed as Renew.

Whichever rule is adopted should be uniformly maintained throughout the files.

188. Foreign names, or titles carrying special markings over either vowels or consonants governing the pronunciation, should be filed following such names without the special marking.

Muller, Hugo
Müller, Hugo

189. Titles with Numerals. Names or titles beginning with numerals should be filed as though the numerals were spelled out in full; e.g., 71st Regiment Infantry would be filed as Seventy-first Regiment Infantry.

190. *Exception No. 1.* The 23rd Street Branch of the Young Men's Christian Association, New York City, would

be filed primarily according to location (New York City), then as to the title of the organization (Y.M.C.A.), and then according to this rule.

191. *Exception No. 2.* In a city real estate index, which is usually arranged by location, the numbered streets would be arranged in sequence of numbers and the named streets alphabetically in a separate section of the files.

192. In arranging the names of departments or bureaus of national, state, county, or municipal governments, the first grouping should be by the state, county, or city, and then by departments, bureaus, or divisions in alphabetic order.

193. When a number of cards bear the same name, the variations in the addresses including towns located in foreign countries, the cards should be arranged alphabetically according to the names of the towns, disregarding the state, province, or country, e.g.:

General Electric Company, Belfast, Ireland.
General Electric Company, Hartford, Conn.
General Electric Company, London, England.
General Electric Company, Lynn, Mass.
General Electric Company, Montreal, P. Q., Canada.
General Electric Company, Paris, France.
General Electric Company, Philadelphia, Pa.
General Electric Company, Schenectady, N. Y.

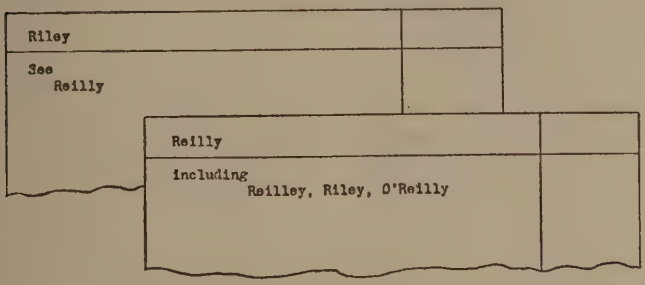
Phonetic Indexing

194. When the files are arranged on the phonetic basis it means that certain exceptions must be provided for, maintaining all other rules not superseded by such exceptions.

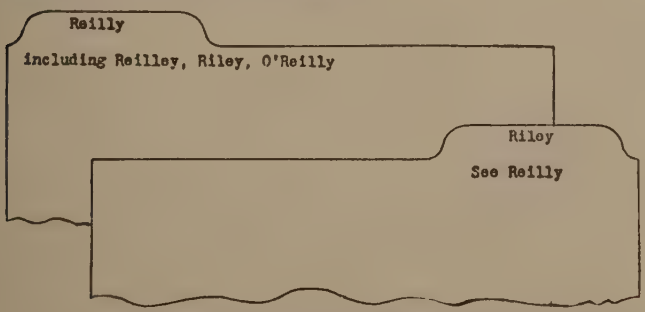
195. The first step in phonetic indexing is to establish a list of names accepted as standards under which all variations in the spelling are to be filed. Usually the standardized name

would be the most common form, or the simplest spelling of the name.

196. Cross-indexing can be accomplished by the use of a card of the same size as the regular cards but of a different color, which is filed under the heading of each of the variations referring to the accepted standard.



197. Under some circumstances it may be found advisable to use a guide to cross-index from the variation to the accepted standard. In such cases they should be written upon guides of another color than those of the regular index and can be made out in the following manner:



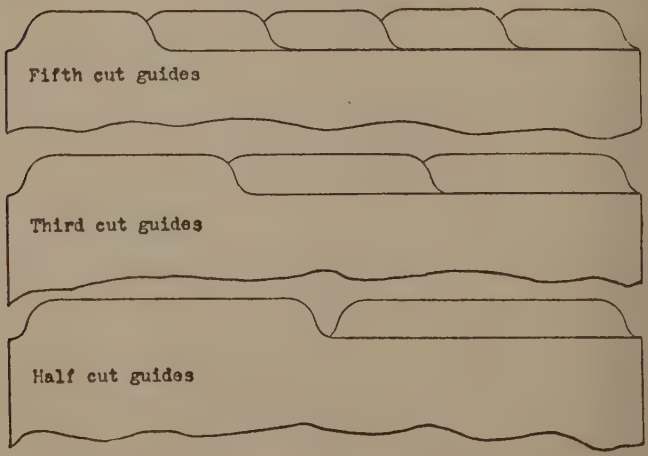
198. How far this method of indexing is carried will depend upon the individual organization. It may be considered

necessary to drop such prefixes as "de" and "von," filing under the surname proper.

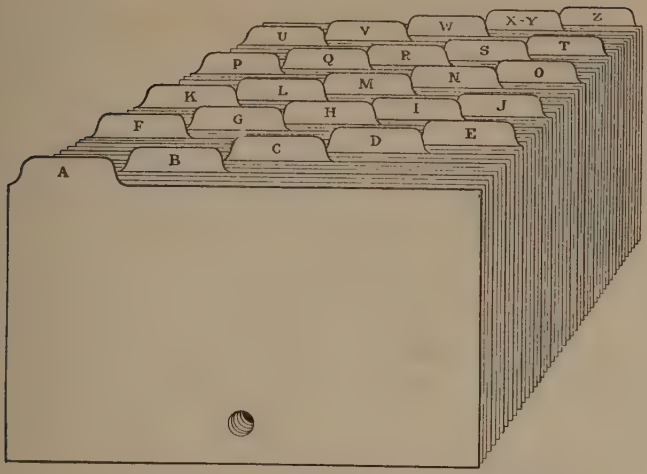
199. When alphabetic indexes are used, do not divide the names and subjects into two or more groups. The maintenance of an index where both are distributed in alphabetic order without regard to what they represent, gives the most satisfactory reference.

Guides

200. Guides are usually made up with tabs cut either to fifths, thirds, or halves. In ordering guides this should be kept in mind as it is necessary that the tab of the guide be wide enough to take the writing or printing of the designation.



201. Alphabetic guides are usually carried in stock by card index supply houses and stationers, in fifth-cut, assorted positions, ranging from twenty-five to five hundred divisions of the alphabet.



202. Geographic guides are usually made up in thirds, distinguishing the divisions by the position of the tab and the color of the guide.

203. The arrangement furnished by the filing equipment houses and carried in stock by them is in thirds, with countries, states, and provinces in center position on blue; counties in left end position on salmon; towns in right end position on buff.

204. If only the towns are used without the counties, the guides for towns should be used with third-cut tabs alternately in left and right positions, or else in all three positions.

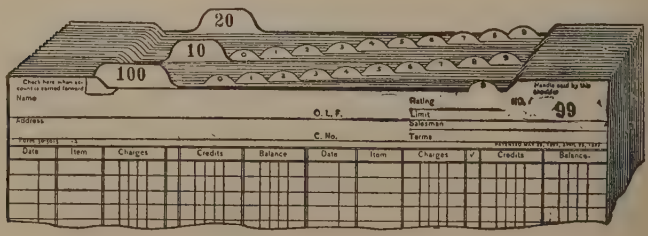
205. When large sizes of cards are used, or in filing correspondence, geographic guides arranged with the state guide in the first position, and the town guides staggered in the second, third, fourth, and fifth positions will be found a satisfactory plan.

206. When so arranged, the town guides are never used in the first position which is reserved for state guides only, leaving a clear field between state guides, thereby indicating to the operator the end of one state and the beginning of the next.

207. In geographic filing, states would ordinarily be arranged alphabetically, but in some instances, due to territorial requirements, they might be divided into special groups.

208. Numeric guides should be made up in fifths, using all five tabs in staggered positions, the positions being repeated to whatever extent may be found necessary.

209. Ledger guides for numerically arranged ledgers are usually made up with the guides for the hundreds in the first position, and with the guides in the second position numbered by tens from ten to ninety inclusive.



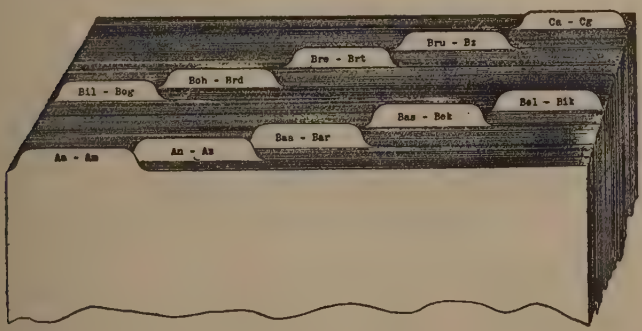
210. This arrangement is usual because most of the numerically arranged card ledgers are made up of tabbed cards, the tab number representing the final digit of the account number, and the guides arranged as described in § 209 permit an unobstructed view of the tabs on the ledger cards.

211. In ordering tabbed ledger cards for a ledger that is to be operated numerically, the first tab position at the left should bear the designation "0" and not "1," as the guides are numbered 10, 20, 30, 40, etc.; therefore the card immediately following carries the same final, and should be the tab position nearest to the guide.

212. The guides should invariably precede the cards or material to which they apply. Any deviation from this rule is liable to cause confusion in the minds of persons referring to the files, as well as the possibility of misfiling.

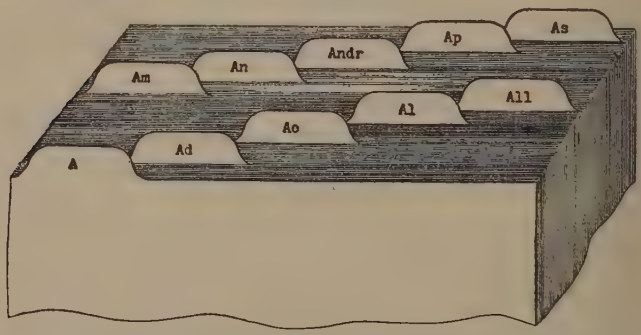
213. Advocates of filing with the material preceding the guide of the corresponding designation almost always use the duplex designation on the guide tab; i.e., "Aa - Ag," indicating that all material falling within the sequence between the beginning of the alphabet and words or names beginning with "Ag" will be found in that division.

214. The duplex designation obstructs the expansion of the file, as the only way additional guides can be inserted is to make certain arbitrary exceptions of common names or divisions that run into volume, setting up a separate guide for that name and indicating on the regular guide by symbol or otherwise that such exception exists.

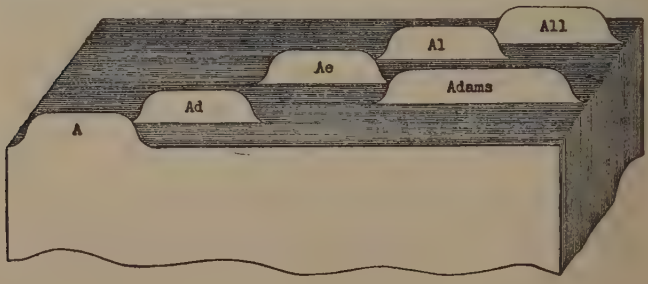


215. Under this system error in filing may creep in through these exceptions being overlooked by the file clerk at the time of putting the papers in the files, papers belonging in a special file or folder being placed in the miscellaneous folder under the regular alphabetic division as though the exception did not exist.

216. When taken in comparison with the duplex designation, the advantages of the single designation can be readily seen. This method provides for imprinting upon the tab of the guide the first designation of the sequence to which it applies; i.e., the group from A to Ac would be covered by a guide designated "A," Ad by a guide designated "Ad," etc.



217. Also, if expansion, not provided for at the time of installation, is required at some later date, a name guide can



be inserted in its proper alphabetic sequence, or a guide making a finer division of the alphabetic arrangement can be used.

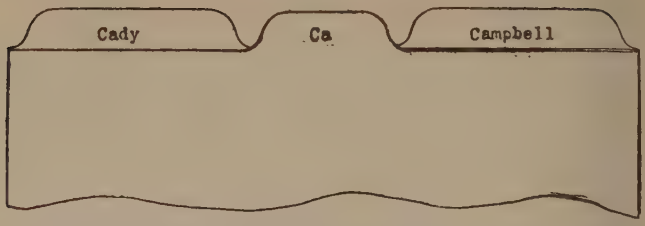
218. The insertion of either the alphabetic or the name guide in no way disturbs the alphabetic sequence of the file, nor does it create an exception as in the case of the guide with a duplex designation on the tab.

219. In proportion to the number of the cards filed, a guide inserted approximately every twenty cards will generally prove satisfactory. In some instances it may be found advisable to vary this proportion by increasing the number of guides, but it is seldom that the number of guides should run under the number stated.

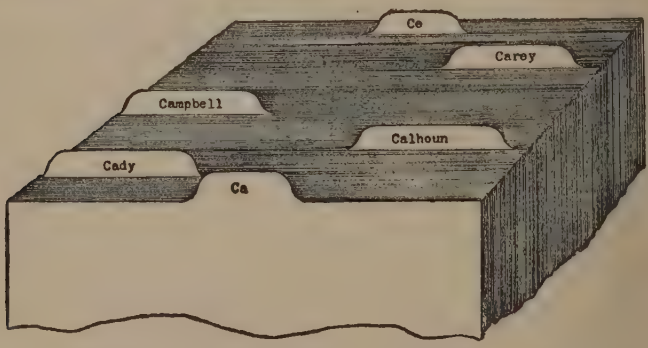
220. When the index is a cumulative record, increasing in volume as time progresses, it will be found more satisfactory to provide a special set of guides, using third-cut tabs in end positions for names or subjects, and fifth-cut, center-position tabs for the divisions of the alphabet.

221. By printing both sides of the tab of the guide, allowance is made for the insertion of new guides at any time, the alternate positions of the guide tabs being maintained by reversing the positions of the guides in the division following the point of insertion of the new guide.

222. To illustrate: Take the "Ca" division of a card index which at the start might only have two special guides, one for Cady and the other for Campbell.



223. With the growth of the file, the necessity for additional guides arises, and is taken care of by inserting a guide for Calhoun, reversing the Campbell guide to the first position, and inserting a new guide printed Carey in the third position.



224. This method of guiding permits the installation of only the center-position alphabetic guides if so desired, adding the special name guides when the necessity arises, at the same time allowing for additional expansion of the center-position alphabetic divisions by the insertion in the same manner of alphabetic designations creating finer divisions at any point.

Special Printed Guides

225. When preparing copy for printed guides, the names

or titles should be arranged in columns corresponding to the tabs on which they are to be printed.

226. When fifth-cut guides are used in assorted or staggered positions, the names or titles should be arranged in five columns.

1	2	3	4	5
Aaron	Adams	Ajax	Aldrich	Anderson
Archer	Atchinson	Avery	Ayers	Babson
Barber	Benton			

227. If third-cut guides are used, the arrangement should be in the three columns, or if half-cut, in two columns.

228. In the preparation of copy it should be typewritten if possible; if handwritten it should be written or printed with the pen, as legibly as it can be. If the title to be printed on the guide tab is too long for one line, the point at which the break to the second line can be made should be indicated.

229. Card guides (sizes 3 x 5, 4 x 6, 5 x 8 inches, etc.) should be made up, using linen card stock, and should be celluloided after printing, thereby protecting the tabs from being soiled, and at the same time reinforcing the guide at its weakest point.

230. Card Guides of Pressboard. These guides are used to a certain extent in card ledgers as well as in the larger sizes of card indexes, but are not recommended for ordinary card index work as they take up too much of the filing space,

the average standard pressboard guide being nearly twice as thick as linen card stock.

231. Owing to peculiarities of manufacture, pressboard does not take celluloid satisfactorily, experience showing that even when the cement between the pressboard and the celluloid holds perfectly, the top layer of the pressboard fibre will separate from the body of the stock, the celluloid coming off with that portion of the stock adhering to it.

232. Pressboard is about the only card stock that can be satisfactorily used for metal-tipped guides, as it has a body that will hold the rivets fastening the metal tip to the guide stock.

233. Metal-tipped guides in card work (maximum size 5 x 8 inches) are used because of the ease with which designations may be made, this type of guide permitting the shifting of the label in the metal tip from one guide to another. Owing to the additional thickness of the pressboard stock, the linen card stock celluloided is, however, preferable.

234. For cards larger than 5 x 8 inches, correspondence, catalogs, blue-prints, architectural plates, etc., the metal-tipped guide can be used advantageously, as the larger-size records require heavier guides owing to the increased weight and surface area of the material to be filed.

235. Guides for Tabulating Cards. Contrary to the usual rule governing the minimum number of guides to be used, when filing cards used in the Hollerith, Powers, or Pierce tabulating machines, the fewer guides the better, as every guide must be removed each time the cards are fed through either the sorting or tabulating machines.

236. The best method of handling these cards is to maintain the divisions by drawers, noting the contents on a label placed in the frame on the outside of each drawer.

Special Sets of Alphabetic Guides

237. When ordering special sets of guides in larger divisions than those regularly carried in stock by filing equipment houses, the following table showing the values placed on each letter of the alphabet by authorities who have made studies of name and subject filing may be of some service in the preparation of copy.

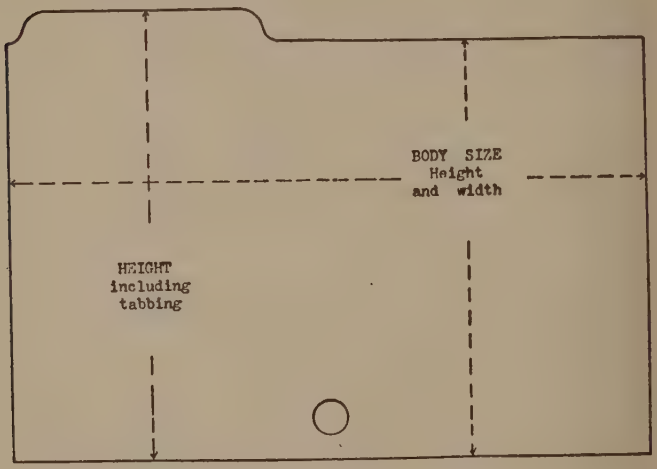
238. Alphabetic Values of Letters in Guiding

Letter	No. of Guides to Each 1,000	Per Cent	Letter	No. of Guides to Each 1,000	Per Cent
A	40	.04	N	25	.025
B	105	.105	O	15	.015
C	50	.05	P	40	.04
D	50	.05	Q	3	.003
E	25	.025	R	50	.05
F	40	.04	S	95	.095
G	50	.05	T	27	.027
H	60	.06	U	2	.002
I	5	.005	V	10	.01
J	20	.02	W	80	.08
K	40	.04	X	1	.001
L	45	.045	Y	4	.004
M	100	.10	Z	5	.005

239. While the foregoing table is considered to be fairly reliable, other factors, such as the locality and class of persons dealt with, may materially change these proportions. In some instances it may be the nationality of the correspondents; in others, the fact that a number of correspondents use the name of the town or city as the first part of their official title.

240. When ordering guides the safest way to insure the correct size being furnished is to send a sample of the guide

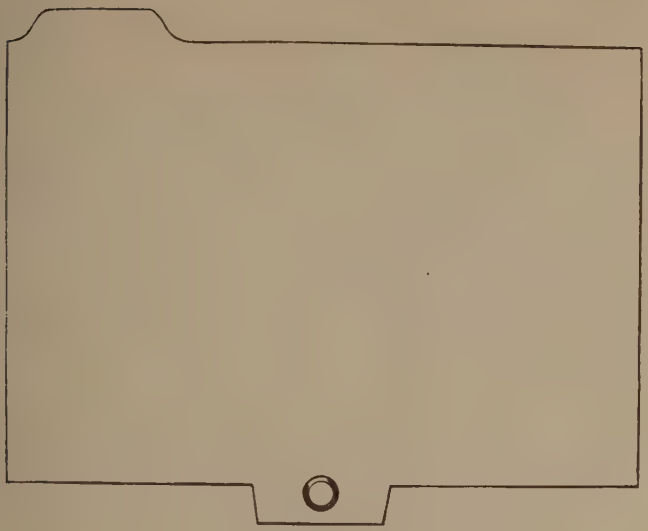
required, or else an outline of it on a sheet of paper, indicating the body size of the guide, height and width, also the height including tab.



241. Care should be taken to specify the tabbing, both as to width of the tab and positions, also to give the color and the punching if it is to be for any style rod other than the standard round rod.

242. When the size of the cards or other material to be filed exceeds 5 inches in height, it will be found advisable to use guides having the check-sorter projection.

243. The majority of cabinets for filing material larger than 5 by 8 inches are made with the rod below the level of the drawer, thus providing for the use of guides with the check-sorter projection.



CHAPTER V

FILING OF PAPERS

244. The paper used in taking carbon copies that are put in the files should be of a different color from that of the letter-heads, so as to be easily distinguished.

245. In addition to the use of colored paper for this purpose, some organizations print the words "FILE COPY" vertically or diagonally across the paper.

246. The paper used for copies of letters, etc., sent out of the office, whether carbon copies or transcripts, should be of a different color from that of either the letter-heads or file copies.

247. When two or more departments have correspondence placed in a common file, a different colored paper for the carbon copies of each department can be used to advantage.

248. COLLECTION OF FILE PAPERS. When papers are released to be filed they should be initialed in the upper left-hand corner by the person attending to the subject matter, to indicate to the file clerk that such papers have received the necessary attention.

249. After the papers have been initialed, they should be deposited in collection trays or baskets located on the various desks, or in such places as may be designated.

250. Collections should be made from these trays or baskets at least once each day, the size of the organization and the volume of material handled governing the number of collections.

251. These papers should be gone over to see that they

have been properly initialed, and at the same time all clips, pins, and fasteners should be removed. Outgoing and incoming letters of more than one page or sheet can best be fastened together by pasting or stapling in the upper left-hand corner.

252. In some organizations it is a practice to refer papers from one department to another for attention through the medium of the filing department.

253. When such reference is considered of sufficient importance to be retained as a permanent record, the reference should be accomplished by means of a rubber stamp impression either on the face or the back of the paper.

RECEIVED
REFERRED TO
REFERRED TO
REFERRED TO
ANSWERED
DATE ANSWERED
O.K. TO FILE

254. When the question of reference is only one of insuring the delivery of papers to a certain department or individual, it can be accomplished by means of a reference slip attached to the papers.

REFERRED TO
ORDER DEP'T.
CREDIT DEP'T.
SALES DEP'T.
CASHIER
MR.
REMARKS
SIGNED
DATE
MARK "X" IN FRONT OF DEPARTMENT OR NAME OF PERSON MATERIAL IS REFERRED TO

255. Folders. In filing, papers should be placed in folders or envelopes which will protect them and at the same time afford quick and easy access.

256. All papers should be filed with the headings to the left as the operator faces the filing cabinets. This permits of reference to the contents of each folder in the same manner as a book.

257. Arrange papers in the folders chronologically, disregarding the nature of the copies, incoming or outgoing, putting the paper of earliest date at the back, thus facilitating reference to the papers that are most likely to be called for.

258. *Exception.* The claim has been made that the logical arrangement is progressive, as in a book, with the latest papers at the back, also that it is easier to file a paper in back of all other papers than in the front of the folder.

259. The first rule is so universally accepted by employers and employees that the adoption of the plan described in the preceding paragraph is apt to cause serious mix-ups.

260. Folders should not be allowed to become too full, but this does not mean that the contents should be transferred from the file as soon as the folder becomes bulky.

261. In such case the regulation folder should be replaced with an expansion folder. If the material becomes too crowded again during the current period of the files, another expansion folder should be inserted in front of the original folder.

262. The original folder should be marked with the starting date of the current period of the files, also the date of the last paper filed in the folder; the new folder being marked with the date next succeeding that shown on the last paper in the preceding folder.

263. In some instances it has proven advantageous to file

without using folders. An example of this is a file where the greatest percentage of the papers handled is of a miscellaneous character and of transient value, with only one or two papers per correspondent.

264. Whenever folders are omitted, the number of guides used in each file drawer must be materially increased.

265. Depending upon the depth of the file drawer (from front to back), the class of material filed, and the quality and thickness of the guide used, there will be a variation in the number of guides required.

266. In the average correspondence-size file, 24 inches deep, between thirty and forty guides should be used, a greater number of guides being required where the folders and the material to be filed are light weight and flimsy, than where the folders are of a heavy weight stock and the material has some body to it.

267. As soon as the filing has been completed for the day, the follow block in each vertical file drawer should be brought up against the folders and guides as tightly as possible to prevent the sagging or slumping of the papers in the file drawers.

268. At times there will be correspondence with a number of individuals or organizations pertaining to one subject, the latter frequently being of greater importance from a reference standpoint.

269. In such cases it is usually advisable to file all of the papers under the subject, cross-indexing or cross-referencing for the name. Examples of this type of file would be "Applications for Positions," "Employees," "Stationery," "Estimates," etc.

270. Folders or papers removed from the files by persons other than the regular file clerks should be placed in the collection trays or baskets; under no circumstances should any-

one besides the file clerk put papers back in the file after consulting such papers.

271. In taking papers from the files, take the entire folder rather than remove individual papers.

272. *Exception.* When miscellaneous folders are used containing the correspondence or papers of a number of individuals, only the papers relating to the subject required should be taken from the files, not the entire folder.

273. If there is any considerable call for papers from the miscellaneous files, the papers of an individual subject can be placed in a colored folder, thus keeping the papers together and at the same time identifying them on their return to the file clerk as miscellaneous papers.

274. No papers should be taken out of the office for any reason without the approval, in each individual case, of the office executive.

275. Substitution Records. When papers or folders are removed from the files they should be replaced by a card or form indicating the file or papers taken, the date on which they were taken, and by whom.

276. "Out guides" should be used when an entire folder is removed from the files, putting it in place of the folder

OUT

NAME OR NUMBER	TAKEN BY	DATE	NAME OR NUMBER	TAKEN BY	DATE
246	J.D.K.	1/28/15 ✓			
2437	C.L	2/4/15 ✓			
1832	J.D.K.	2/8/15 ✓			
463	R.L	2/11/15			

after noting on it the name or number of the folder and the date and name or initials of the person taking the folder.

277. Out guides should be about a quarter of an inch higher than the regular guides, of a different color so that they will be prominent, and without the check-sorter or rod projection at the bottom.

278. When the folder is returned to the files, the out guide is removed, initialed or checked by the file clerk against the entry, and then placed in the front of the file drawer, or else on the file clerk's desk, to be used again for the next file that is taken out.

279. When individual papers are removed from the folder, a substitution card or sheet should be used instead of the out guide. This should carry the dates of the papers taken, the date on which they were taken, and by whom.

SUBSTITUTION CARD

NAME OR NUMBER OF FILE	DATES OF PAPERS TAKEN	TAKEN BY	DATE
Evans & Co	L. 4/15/15 4/22/15 5/3/15	J. D.	8/12/15
Adams Express Co	L. 7/14/15	R. L.	

280. The substitution card should be of a colored stock so as to show up readily, and its height should exceed that of the folder in which it is used so as to call attention to the fact that papers have been removed from the folder.

281. When, owing to their importance, papers are placed in a safe or receptacle other than the files, a substitution card should be put in the file, indicating where such papers were located.

282. Receipts. In some organizations it may be advisable to use a 3 x 5 inch card or slip, printed with a form of receipt, to be signed by the person receiving the papers or folder.

283. When signed, this card or slip is filed in a card index tray under the name or number of the file removed, and is taken out and destroyed upon the return of the folder or papers in question, or upon their transfer to another person or department.

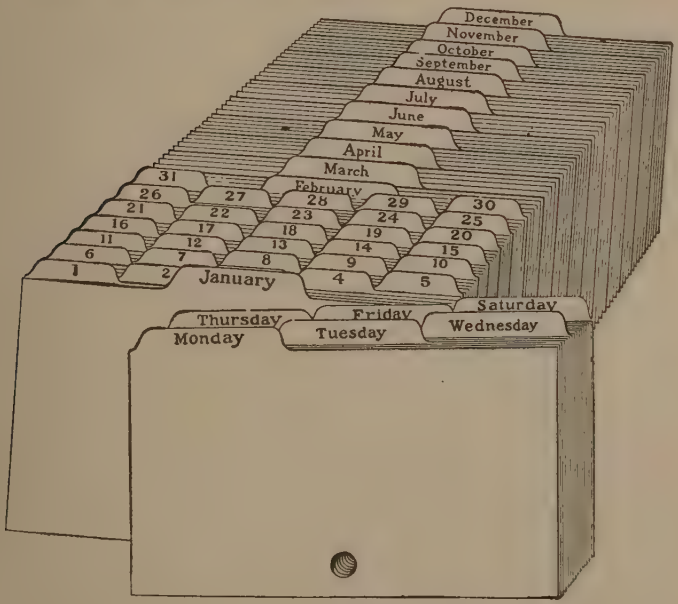
284. In instances where disputes arise between file clerks and other employees regarding the receipt and return of papers to the files, the receipt system should be used in preference to the out guide as a charging medium.

Follow-Up or Tickler System

285. Papers required for future attention should not be kept in desks until the date needed, but should be marked with the date that they require attention (in the lower left-hand corner of the letter, or the first page of the letter if there is more than one sheet), and a tickler card (3 x 5 inches), as per the following illustration, should be made out and filed in a card index tray under the date specified.

DATE WANTED 8/10 8/15 8/20	FILE NUMBER 1478
SUBJECT Contract on Incandescent Lamps	
REMARKS Check stock on hand before making new contract	
RETURN THIS CARD WITH ALL PAPERS TO L.C.R.	

286. This method permits the papers to be filed immediately in their proper places, so that there is only one place to go for a paper if it is required prior to the date specified for follow-up. The tickler card is located by the date for follow-up as marked in the lower left-hand corner of the paper.



287. The tickler cards should be removed from the card index tray the first thing each morning, and the folders indicated by the current day's cards be removed from the files and delivered to the individuals specified, with the tickler card attached to the top edge of the folder by means of a paper clip.

288. If for any reason the matter is not to be followed up on the date specified, the date marked on the tickler card should be scratched and a new date noted in the same space

immediately to the right of the old date, and the folder or papers placed in the filing tray or basket to be replaced in the files.

289. The tickler card would then be filed under the new date in the card index tickler, the whole process being repeated on the day indicated for following.

290. The foregoing system as outlined will apply to any method of filing, whether alphabetic, numeric, or geographic.

291. Another method of follow-up is to establish a "pending file" arranged chronologically, in which an additional carbon copy of each letter to be followed is filed, these copies being removed on the proper dates and distributed to the various persons handling these matters.

292. The objection to this plan lies in the fact that in the majority of copies handled, the folder containing other correspondence in relation to the matter must be secured from the files.

293. If the person handling the follow-up does not call for the folder, the matter being handled entirely from the tickler copy, it develops the possibility of certain material going into the regular file that might affect the nature of succeeding follow-up work.

294. Should the follow-up date be anticipated by reason of action taken, or a reply received at an earlier date, there is the danger of the tickler copy being left in the file and another follow-up put through, as there is nothing to tie the tickler to the regular file as in the first plan.

295. A third method, equally bad, is the establishment of a pending file containing two sets of guides, one alphabetic and the other chronological by months and days.

296. The original letter received is marked with the date on which the matter is to be followed up, and is filed in the

alphabetic section of the pending file under the name of the correspondent.

297. The file copy of the outgoing letter is marked with the follow-up date in the same manner, and filed in the pending file in the chronological division, under the date set for follow-up.

298. A comparison of the three methods outlined in the foregoing paragraphs results in the following deductions:

299. The first method deals directly with the file, putting all papers in their proper place, and handling the tickler as an auxiliary record on cards in the most compact form.

300. The second method also releases the original papers to the files, depending upon an extra carbon copy of outgoing letters for the tickler file. In a short time this method develops two distinct and separate files, neither one being a duplicate of the other, the tickler file frequently containing information that should be in the regular file.

301. There is a loss of time whenever the tickler copy does not furnish the necessary information, and it becomes necessary to obtain the original papers from the file.

302. The third method means a progressive search every time papers are required prior to the tickler date, first in the regular files, then in the alphabetic division of the pending file, and then in its chronological division to remove the carbon copy from the date indicated—all this is necessary before the matter in its entirety can be brought together.

303. Title or Face Sheets. In organizations where the filing is maintained under a subject arrangement, a sheet of paper is attached to a series of papers (sometimes from a number of different correspondents) by means of a staple or fastener, this face sheet, either printed or plain, designating the subject under which all papers attached are to be filed.

304. Letter Backs. This is a sheet of paper (usually manila) about 7 points in thickness, used at the back of a series of papers for the protection of the papers.

305. Its use develops most frequently in railroad claim departments where the papers are taken out by adjusters in order to settle claims, and in lawyers' offices, where it is both a protection to the papers and prevents their loss or confusion with papers pertaining to other cases.

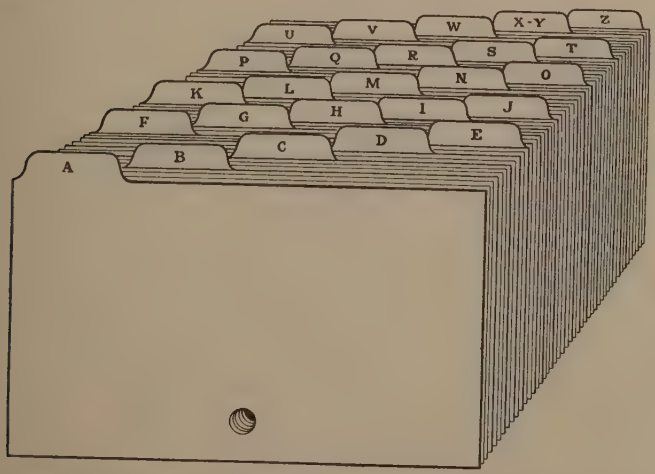
CHAPTER VI

DIRECT ALPHABETIC FILING

306. For most of us the first thing taught in school was the alphabet, and it sticks so tenaciously in our memory that we usually apply it to the filing of correspondence, invoices, and papers of every description.

307. This method of filing obtains its name from the fact that all reference to the files is direct without the use of an index, the vertical file guides serving as a locating medium.

308. The prevailing arrangement of the files is with the guides staggered in five positions, and then repeated as many times as may be necessary until the last division of the alphabet is reached.



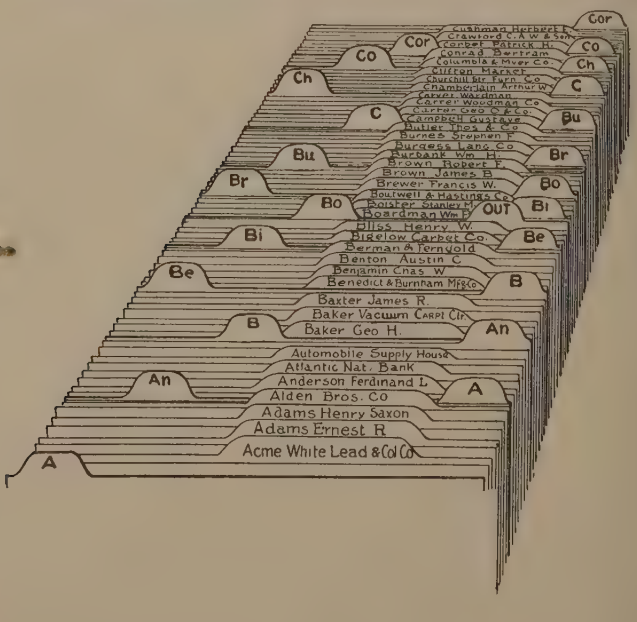
309. The use of guides in this manner calls for either straight-edged or tab-cut folders, the over-all height of the

folder (including the tab) never exceeding the height of the body of the guide.

310. Behind the guide, for each division of the alphabet, an additional folder is inserted, bearing the same designation as the guide in which is placed the miscellaneous correspondence of that division.

311. Between the guide and the miscellaneous folder is placed the individual folders (i.e., folders containing papers of sufficient volume or importance to warrant giving the correspondent or subject a separate folder of its own), each folder being marked at the top edge of the back flap with the name or subject that it contains.

312. An arrangement of guides and folders recently introduced and meeting with considerable favor, is made up


Cor
Co
Ch
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An
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Br
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OUT
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B
An
A
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Co
Ch
C
Bu
Br
Bo

with the guides staggered in the first three positions at the left, then the individual folders with tab uniformly in one position, and miscellaneous tabbed folders, with the tab at the extreme right of the folder.

313. The favor accorded the direct alphabetic method of filing has been due largely to the fact that the reference to the files is direct which permits of the filing and obtaining of papers in a minimum amount of time.

314. In organizations where the papers filed are of transient value, with little or no reference being made to them, this method of filing is usually preferred.

315. While the alphabetic arrangement has the advantage of direct filing, the following disadvantages should be noted:

(a) A paper removed from the files for reference has to be reread by the file clerk to ascertain where it belongs in the files.

(b) It frequently occurs, particularly when there is a lapse of time since the original filing of the paper, that the file clerk may put an entirely different interpretation upon the subject matter of the paper and its place in the files.

(c) Unless maintained with individual folders for each important correspondent, which necessitates the writing of the correspondent's name on the folder, there is little difference between the method used in the flat and vertical files, some of the difficulties experienced in alphabetic flat files frequently developing in the vertical file.

(d) Duplication of common names coming together in the files increases the chances for misfiling.

(e) Cross-reference work is more difficult in the alphabetic than in the numeric file, owing to the necessity of writing out the entire title of the file referred to, against the indication of such reference by a number.

(f) Errors in filing are more prevalent in direct alphabetic filing, due to the fact that only a small percentage of file

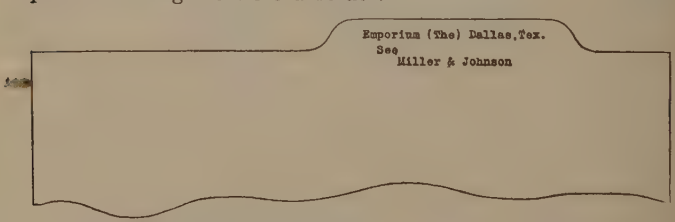
clerks grasp the sequence of the alphabet as shown in dictionary arrangement. The larger or more complicated the division of the alphabet, the greater the chance of error.

316. The rules applicable to the writing and filing of index cards will apply to the writing of the names on the folders, and the arrangement of the folders in the files under the direct alphabetic method of filing.

317. *Exception.* In organizations where an addressing machine is in use, the folders can be imprinted to advantage from the stencils, provided the stencil lists conform to the names in the files.

318. When the stencils are used in this manner, it is obvious that the arrangement of each name is identical with the way it is written naturally, but the filing will be maintained as indicated under the rules for the filing of index cards (see Chapter IV).

319. Cross-indexing can be accomplished by using a tab-cut manila sheet of the same size and thickness as the regular manila folder used in the files, which is inserted in its proper place as though it were a folder.



320. Cross reference becomes necessary when more than one subject or correspondent is referred to in one paper; e.g., a letter received from "B" might refer to correspondence had with "A" in relation to the same matter.

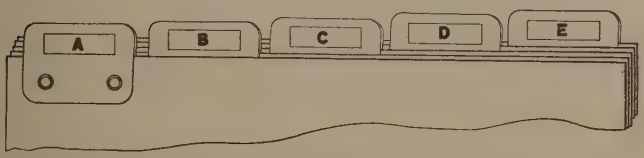
321. In this case the letter would be placed in B's file and a cross-reference sheet (usually the same size as the second sheets used for carbon copies) is inserted in A's file,

indicating that material on a given subject is contained in a letter bearing a certain date in B's file.

322. The use of guides as described under the heading "Rules for Filing Index Cards" (Chapter IV), must necessarily be somewhat different in connection with the filing of papers.

323. When individual folders predominate, a smaller subdivision of the alphabet can be used than in instances where the miscellaneous matter constitutes the major portion of the files.

324. When the file contains material constantly increasing in volume as to number of correspondents, a metal-tipped guide can be used to advantage, the labels being interchangeable, thereby allowing for expansion at any given point.

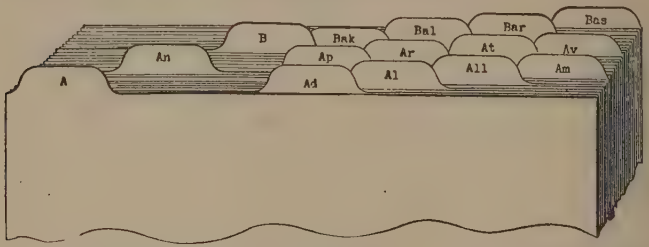


325. The material in the miscellaneous folders should be watched, and as soon as any individual set of papers develops into an active correspondence or subject, either by volume or importance of material, it should be removed and put into an individual folder.

326. In some organizations a rule is established that as soon as an order is received from a correspondent, all his papers shall be removed from the miscellaneous folder and an individual folder inserted to cover.

327. In instances where the direct alphabetic method of filing is used in connection with the filing of a large volume of miscellaneous material, and only a small percentage of individual files, the use of the individual folder is dispensed with.

328. The most satisfactory method of handling this problem is the use of the direct alphabetic guides as illustrated under § 312, selecting a subdivision that will provide approximately forty guides per drawer of 24 inches, substituting miscellaneous tabbed folders with the tabs assorted in four positions for the individual tabbed folder and the miscellaneous folder used in the regular equipment.



329. The alphabetic designations to be printed on the tabs should receive very careful consideration as they will have to dovetail with the guides, some divisions requiring more than the average and others less.

330. In this type of equipment the miscellaneous folders should always be expansion folders with at least a half-inch pleat or score at the bottom.

331. If a file of this description is to be operated on the basis of a continuous transfer, it is advisable to insert a folder of another color or with a different colored tab at the expiration of the first half of the maximum operating period.

332. This new folder should be inserted in front of the first folder, and all papers bearing a date falling within the second half of the period be filed in this folder.*

*See Chapter XII, "Transferring."

CHAPTER VII

ALPHABETIC-NUMERIC FILING

333. With the development of the alphabetic and numeric filing systems, objections were raised from time to time against one method or the other.

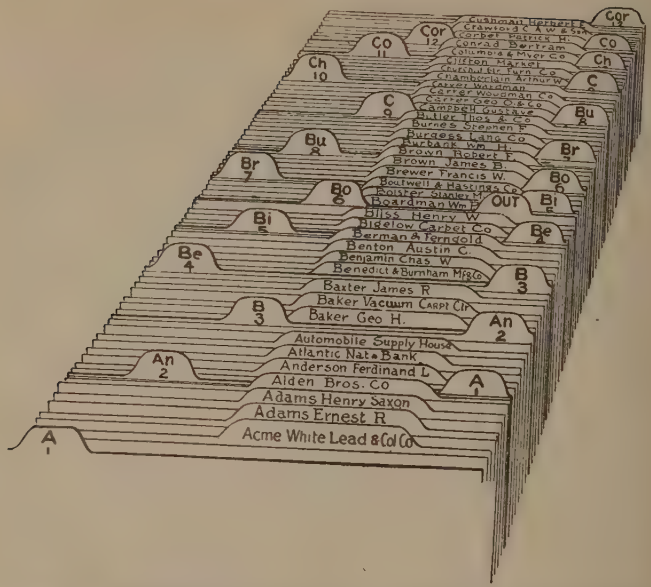
334. When analyzed, the advantages of direct filing obtained under the alphabetic arrangement were frequently offset by the limitations of the system, its errors in filing, the double work of reading papers to be refiled, and its unsatisfactory cross-indexing.

335. With the numeric method, the main argument against it has always been the question of the time involved in indexing and marking the paper with a positive file number that identified it with the file covering a certain name or subject.

336. The fact has been repeatedly demonstrated that the average mind will work more rapidly with numbers than with combinations of letters of the alphabet and the relations of such combinations to each other.

337. With the above as a basis, several types of filing systems have appeared on the market which permit of direct alphabetic filing, and in addition, have a location number assigned to each guide, this number being printed immediately beneath the alphabetic designation.

338. The numbers are assigned in consecutive order starting with one, and paralleling the sequence of the alphabet with a number to each guide. If the set of guides was a 26-division (one guide to each letter), the first guide would be numbered 1, and the last 26.



339. Advocates of this method contend that by marking the division number on each folder filed within that division, the folder can be returned to its place in the file by the number without reference to the alphabetic designation.

340. This method may insure to a certain extent the return of the folder to its place in the file, but it accomplishes little in the way of safeguarding the filing of the individual piece of paper if the numbering is not carried to the paper itself.

341. Even if it is carried out to this extent, it must be remembered that the number represents only a general location, and that it is necessary to find the folder in its alphabetic location or arrangement before the paper can be filed.

342. Another type of filing under this heading arranges the individual folders numerically in consecutive order, start-

ing with a number 1 folder behind each guide representing an alphabetic division.

343. The guides are ruled and printed, with blank spaces provided for the insertion of the name of the correspondent, number in consecutive order and address, the numbers being assigned only to such names as may have individual folders, a miscellaneous folder behind each guide being used for all other correspondence.

344. With the exception of the material filed in the miscellaneous folders, the operation of this system is essentially numeric, the indexing medium presenting all of the drawbacks found in the oldest types of bound-book indexes.

345. So many disadvantages present themselves in connection with the operation of this system that only a few of the most important ones are cited in the following:

(a) Each time an individual folder is established for a new correspondent, it is necessary to remove the rod that holds the guide in place in the drawer, then remove the guide, and write the name and address of the correspondent against the next unused number, and then replace the guide and rod, putting the folder in numeric sequence behind the guide.

(b) If the folder in any division is removed for reference, there is the chance of the insertion of the folder on its return under another subdivision of the alphabet, which misfiling might not be discovered for some time.

(c) As the arrangement of the index on each guide card provides for the recording of the names in the exact order of establishing the files, it is impossible to locate a given file except by reading through the entire list until the particular name is reached.

346. It must be kept in mind that all of the types of filing that have been developed in this group have had two objects in view—(1) elimination of the errors so prevalent in direct alphabetic filing, and (2) the reduction or elimination of the

time required in operating the index maintained in connection with the numeric system.

347. Neither of the types described in the foregoing have met the requirements, due in the first instance to lack of adequate check, and in the second to the fact that more time is required to index under this plan than in a numeric arrangement with the card index.

348. A third type, entirely different in principle and operation, was developed and patented by Edward A. Dunn, in 1911, and was placed upon the market the same year, under the title "Automatic Filing."

349. As applied to the filing of correspondence, papers of any description, or card index work, it is operated as a two-name file, first from the standpoint of the surname of the individual, then as to the given name, or according to the first and second names of a firm, corporation, or society when a given name does not appear.

350. The number of primary or surname guides to be used in this system is calculated as being 10 per cent of the total number of guides used in a direct alphabetic system of corresponding size, owing to the fact that nine secondary guides covering the given name or second name of a firm are placed behind each surname guide.

351. The nine secondary guides are identically the same behind each primary guide, simplifying to a marked degree the alphabetic divisions in comparison with direct alphabetic.

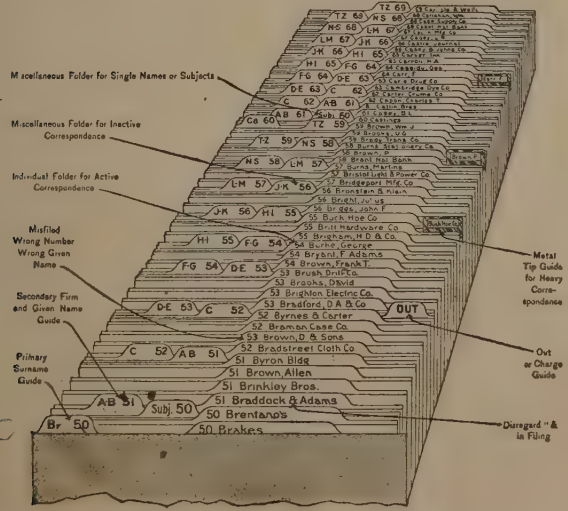
352. The use of these secondary guides as given name divisions, gives a more even distribution of material owing to the fact that there is less variation in given names than in surnames.

353. It is also advantageous because it separates the common names, usually duplicated to a marked degree in files

of any size, according to the given name behind the primary or surname guide.

354. The illustration here given shows the file arranged for the filing of correspondence, each position of tabbing having a distinct function as follows (reading from left to right):

1. Primary or surname guide.
2. Secondary guides for given name or second firm name.
3. Miscellaneous folder tabbed to correspond with the guide that it follows and with same designation.
4. Individual folders for correspondence or subjects of importance or volume.
5. Special name guides for heavy correspondence or "OUT" guides showing removal of the file.


Miscellaneous Folder for Single Names or Subjects
Miscellaneous Folder for Inactive Correspondence
Individual Folder for Active Correspondence
Misfiled Wrong Number Wrong Given Name
Secondary Firm and Given Name Guide
Primary Surname Guide
Metal Tip Guide for Heavy Correspondence
Out or Charge Guide
Disregard "&" in Filing
OUT
Subj. 50
Br 50

355. Provision for the numeric feature of this file is made by means of a chart printed on the face of each guide or

A	B	C	D	E	F	G	H	I-J	K-L	M	N-O	P-Q	R	S	T-U-V	WXYZ
Aa 1	Ba 3	Ca 6	Da 9	Ea 11	Fa 12	Ga 13	Ha 15	Ia 18	Ka 20	Ma 23	Na 26	Pa 28	Ra 30	Sa 32	Ta 36	Wa 38
Am 2	Be 4	Ch 7	Di 10			Go 14	He 16	Ja 19	La 21	Me 24	Oa 27	Qa 29	Ro 31	Se 33	U-V37	Wi 39
	Br 5	Co 8	.				Ho 17		Li 22	Mo 25				Sm 34		XYZ 40
														St 35		

GIVEN AND FIRM NAME KEY									
0	1	2	3	4	5	6	7	8	9
SPACE WARD OR VALLEY	A-B	C	D-E	F-G	H-I	J-K	L-M	N-S	T-Z

folder, which is arranged in two sections, the first covering the surname division of the file, and the second the given name or second firm name.

356. The primary guides arranged in alphabetic sequence are numbered consecutively by tens, starting with the first guide numbered 10, the next guide numbered 20, etc.

357. The secondary guides, consisting of nine guides behind each primary guide, are numbered consecutively as to the final digit from 1 to 9, the alphabetic arrangement being the same in each group throughout the file.

358. The combination of the number on the primary guides, with the position number on the secondary guide, constitutes the file number. The number in each instance is printed on the tab of the guide immediately to the right of the alphabetic designation; for instance, "Br 50" would be the primary guide of a 40-division set (as shown in § 354), the secondary guides being designated as "A-B 51," "C 52," "D-E 53," "F-G 54," "H-I 55," etc.

359. The numbers are therefore in one consecutive series from the beginning to the end of the whole series, the lowest number always being 10, covering the first guide in the "A" section, and the final number 409 in a 40-division, 809 in an 80-division set, etc., representing the final division of "Z."

360. In operation, each paper is marked with the division number, taking the number from the chart (see 40-division chart given in § 355); the papers are then taken to the files

and filed alphabetically, first according to surname, and then as to given name or second firm name.

361. As each paper is filed, the number marked on the paper is checked against the number appearing upon the folder in which the paper is filed. If the number does not agree with the number on the folder, either the number has been marked incorrectly on the paper or else the paper is being filed in the wrong division.

362. A folder containing material on the subject of BRAKES would be filed immediately behind the Br 50 guide, the folder containing correspondence with ALLEN BROWN would be filed first back of the primary or surname guide, Br 50 (Brown), and then back of the secondary guide, A-B 51 (Allen), the file number on the paper always corresponding with that appearing upon the secondary or given name guide.

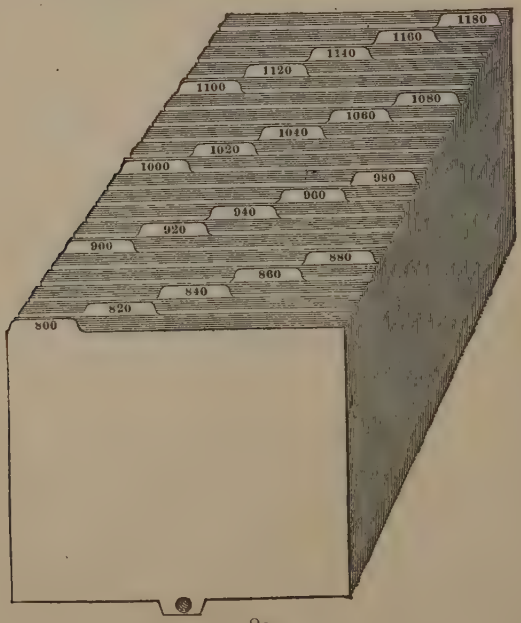
363. While classed among the indirect methods of filing, the designation must be qualified in connection with this system, as the indirect feature applies only to the numbering of the papers from the chart, the actual filing of the papers being alphabetic (the number being used to check the correctness of the filing). All reference to the files for the purpose of obtaining papers, is likewise alphabetic, affording accessibility to the material equal to the direct alphabetic systems.

CHAPTER VIII

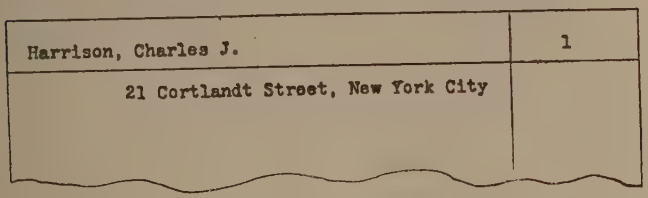
NUMERIC FILING

364. This method of filing differs from those previously described, being indirect and requiring an index to designate the location of the material filed.

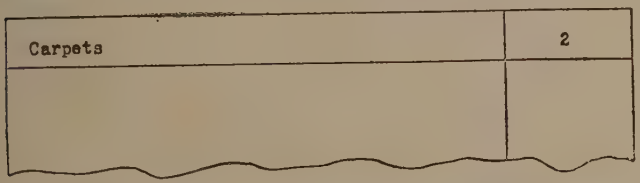
365. The usual arrangement is to place the papers relating to a certain individual, organization, or subject in a folder, each folder being numbered consecutively and then placed in the file in accordance with its numeric sequence.



366. In starting a new file the papers of the first subject or correspondent coming to hand would be assigned file number 1, the paper being marked with that number in the upper right-hand corner. An index card (usually 3 x 5 inches) is then made out, carrying the name, local address (when necessary), town, state, and file number if a correspondent.



367. If the papers to be filed covered a subject, the title assigned would be written on the card in the same manner.



368. This index card is then filed in its alphabetic sequence in the card index tray, the papers being placed in the folder bearing the number assigned.

369. The file number should always be marked in the same place (upper right-hand corner) on the paper, as it enables the file clerk to check the number on the paper being filed against the number on the paper previously filed, also against the number on the folder.

370. A colored pencil, preferably blue, should be used to mark the file number on the papers, as it is more legible than the ordinary pencil.

371. In the majority of instances when filing, little if any

time is saved by sorting the papers to be indexed into alphabetic sequence. The index itself is in alphabetic arrangement, which permits of ready access, and the time lost in referring from one part of the index to another to enter the subject or name of the paper, is usually more than offset by the time that would be required to sort the papers alphabetically.

372. *Exception.* In organizations where the mail matter runs into considerable volume, or constant reference is necessary during the process of filing, it may be found necessary to sort papers to an alphabetic arrangement as soon as received in the file room, in order to facilitate reference.

373. During the process of indexing, the papers should be sorted into trays or piles conforming to the drawers into which they are to be filed, or within the range of a hundred, which would be practically the same thing; e.g., the first pile or tray would contain all papers bearing file numbers between 1 and 99, the next from 100 to 199, etc.

374. With very little practice the action of sorting the papers into groups becomes almost mechanical and will save the operator's time, as all papers belonging in a certain drawer can be put there at one time.

375. The papers are filed in the folder or pocket, with the headings of the papers always to the left of the folder as the operator faces the cabinets, the papers being arranged in chronological order, the latest paper at the front of the folder.

376. If the number is marked upon the paper in accordance with the rule laid down in § 366, the file number on the paper can be checked against the number on the previous paper filed.

377. Some organizations make it a rule to have all papers indexed as soon as received and prior to distribution to individuals or departments. When this plan can be carried

out without unnecessary delay it permits the individual handling the papers to call for the file of the correspondent by number, usually an easier means of designation than the name of the correspondent.

378. Another advantage of marking the file number upon a paper prior to distribution, is the fact that the file number can be dictated to the stenographer, and typewritten at the top of the letter-head, thereby reducing the number of file copies to be indexed.

379. It is suggested that the sections of this book covering the writing and filing of index cards be read in connection with the subject of numeric filing.

380. The numeric system is especially adapted to the filing of information and data, contracts, invoices, catalogs, leases, drawings and blue-prints, patterns, electros, and correspondence.

381. Some of the features in favor of this system are:

(a) The accuracy obtainable.

(b) Ability to cross-reference or cross-index in the shortest possible terms; e.g., the numbers of the files referred to.

(c) Papers removed from the files for reference, having been marked with the index or file number when originally filed, can be re-filed with less labor than under any other system.

(d) Papers pertaining to a given correspondent or subject can always be found in the same relative position in the files, according to the sequence of the numbers.

(e) Use of the index as a locating medium for material, other than correspondence, filed under the same numeric arrangement.

382. There are certain disadvantages in the operation of the numeric system which must be considered:

(a) Its indirect filing, as all papers must be indexed before they can be put in their places in the files.

(b) Its indirect reference, it being necessary to consult the index to ascertain the location of the papers in the files.

(c) Difficulty in the handling of miscellaneous matter satisfactorily, the question arising as to whether the value of this class of material warrants the time and labor required to index.

383. In many instances where the numeric method of filing has failed to meet the requirements of the organization, the trouble has been traceable to inexperienced operators, or to the fact that the system has been improperly installed or incorrectly maintained.

384. If a numeric file is to be successfully operated, certain rules must be adhered to by the indexer:

(a) Consult the index for each piece of paper indexed for filing. One's memory may be good, but it is by no means infallible; therefore use the index to check the memory.

(b) A number assigned to a correspondent or subject should not be cancelled and reassigned to another correspondent, as confusion might arise if the original correspondent or subject became active at some later date.

(c) The index should be continued in cumulative form regardless of the number of times the files may be transferred. Under no circumstances should a separate index be started to cover the new period of the files.

(d) If the paper to be indexed is a new correspondent or subject not appearing upon the index, lay it aside until all other papers have been indexed and make out all of the index cards for such new correspondents at one time.

(e) Every index card should be checked with the letterhead of the correspondent, verifying the spelling of the name, the initials, and the address; care should be taken to see that it is filed in its proper sequence in the card index tray.

Numeric Filing of Miscellaneous Correspondence

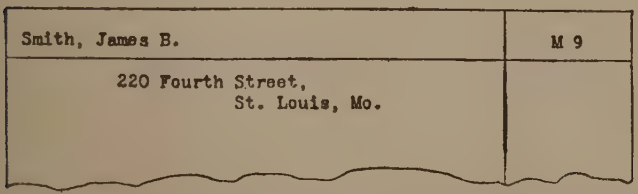
385. If the numeric system of filing is adopted for general correspondence, the miscellaneous correspondence should be filed under a numeric plan and covered in the same index, being handled in the following manner:

386. The files containing the miscellaneous correspondence are maintained separately, and the folders are numbered in another series, the numbering being by ten's, and prefixed with the letter "M," or some other letter of the alphabet to indicate that it is in the miscellaneous series.

387. On this basis the first folder would be numbered "M 1," and would contain the papers of the first nine correspondents assigned to the miscellaneous files, the numbers being "M 1" to "M 9" inclusive.

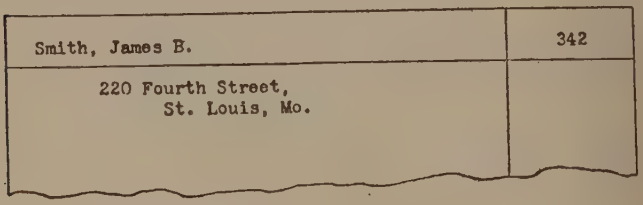
388. The next folder would be numbered "M 10," and would contain the correspondence of the next ten correspondents, "M 10" to "M 19."

389. Individual index cards are written for each name, using a different colored card from that used for indexing the regular correspondents or subjects, so as to indicate to the persons consulting the index the fact that the papers are in the miscellaneous files.



390. These cards are filed with the index cards covering the general files, so that there will only be one place to go to ascertain if there is any correspondence on file to or from an individual or on a particular subject.

391. In event of a correspondent assigned to the miscellaneous files becoming of sufficient importance to warrant transferring the papers to an individual file in the general division, the papers should be removed from the miscellaneous folder, the miscellaneous index card be cancelled, and a new card bearing the number assigned in the regular files put in its place.



CHAPTER IX

GEOGRAPHIC FILING

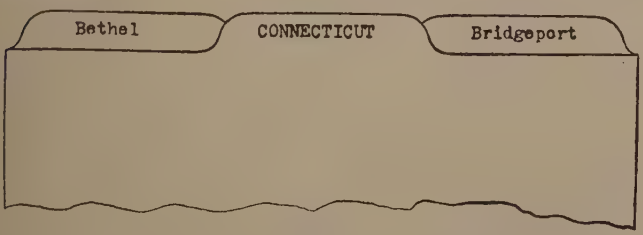
392. This method of filing correspondence is used by organizations handling their business along lines which necessitate territorial divisions of their records.

393. The unit of territory may differ in each concern, depending upon the nature of the records, the standpoint from which reference is required, or the class of statistics to be compiled.

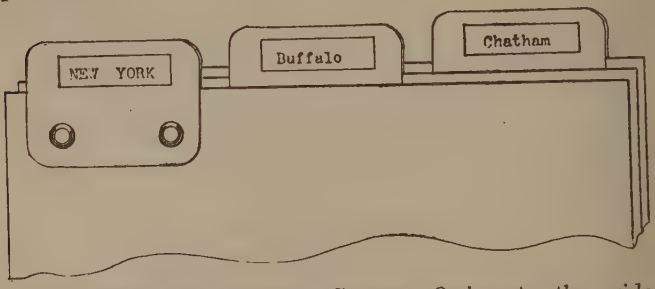
394. In the sales department the unit frequently coincides with the territory allotted to a certain salesman, in order to provide ready access to all correspondence with customers handled by him, or in relation to their business.

395. In some organizations whose policy it is to refer all orders from the consumer or retailer to the local jobber, the geographic method of filing affords an opportunity to check the business from a given territory against the jobber, at the same time reducing the miscellaneous matter in the files to a minimum.

396. In geographic filing the first unit to be considered is the state, and the guides, made up in sets of states, are carried in stock in center position with either third or fifth cut tabs.



397. Another arrangement of state guides is possible with the use of metal-tipped guides, using the first position of tab for the state, and no other class of guides being put in this position.



398. Town and County Guides. Owing to the wide variation in the requirements of different concerns, depending largely upon the area of territory covered, the class of people reached, and the proposition to be presented, it is almost impossible to carry these guides in combinations that would suit everybody.

399. The requirements are met in some instances by grading the towns according to population; i.e., one set contains towns of 10,000 population and over, the next set covers 5,000 and over, down to towns of 200 and over.

400. While the guides for towns and counties are not carried in stock by the dealers in filing supplies, the electros or slugs arranged in sets as indicated are available to print from on short notice if such arrangement can be used.

401. When this is done, the names of the towns and counties can be printed direct on the tabs of the guides, or else printed in sheets which are cut apart, and the individual town or county label pasted upon the tab of the guide, this latter process being known as the pasted label guide.

402. The following table* indicates the number of towns

*Compiled by the Library Bureau.

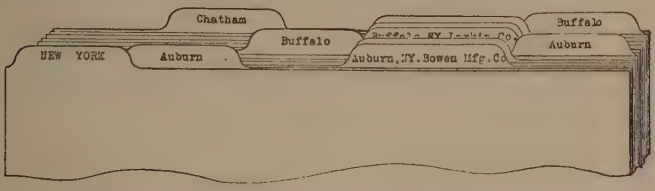
and cities in each state of each classification, e.g., 200 and over, 500 and over, 1,000 and over, etc. It is based on the 1910 census for towns east of the Mississippi River, and the 1915 revised figures for towns west of the Mississippi River.

State	200	500	1M	2M	5M	10M	Counties
Alabama	431	196	97	46	14	7	67
Alaska	37	19	11	4	1	0	4
Arizona	94	57	30	16	8	2	14
Arkansas	388	163	82	44	10	5	75
California	639	356	188	103	32	21	59
Colorado	259	118	57	35	11	4	63
Connecticut	334	243	159	93	42	19	8
Delaware	63	24	15	8	1	1	3
District of Columbia	17	12	6	4	3	3	0
Florida	269	110	60	29	10	4	50
Georgia	531	241	135	64	23	9	148
Hawaii	6	5	5	4	4	4	5
Idaho	211	82	38	14	5	1	33
Illinois	1214	663	374	196	73	32	102
Indiana	821	394	204	112	51	25	92
Iowa	829	411	186	94	26	17	99
Kansas	570	279	145	72	25	12	105
Kentucky	412	180	101	48	20	8	120
Louisiana	377	150	72	36	11	6	64
Maine	654	372	192	77	19	7	16
Maryland	238	106	57	24	8	4	24
Massachusetts	605	458	329	218	109	55	14
Michigan	747	373	204	95	49	25	83
Minnesota	559	274	146	65	24	8	86
Mississippi	365	166	79	44	15	5	79
Missouri	802	357	190	92	29	10	115
Montana	199	88	39	16	9	6	35
Nebraska	478	199	92	38	13	4	93
Nevada	49	29	17	8	1	1	16
North Carolina	373	181	102	56	21	7	100
North Dakota	255	78	34	12	5	2	50
New Hampshire	314	189	99	33	13	8	10
New Jersey	554	320	190	118	55	33	21
New Mexico	232	101	45	16	5	1	26

State	200	500	1M	2M	5M	10M	Counties
New York	1559	679	364	193	80	53	62
Ohio	1219	538	295	160	82	37	88
Oklahoma	489	234	124	59	14	8	77
Oregon	185	89	49	24	7	2	34
Pennsylvania	2189	1055	569	321	141	63	67
Porto Rico	79	74	58	35	12	4	7
Rhode Island	105	66	44	22	12	7	5
South Carolina	233	125	76	34	13	4	44
South Dakota	271	109	45	17	6	2	69
Tennessee	369	168	89	44	11	5	96
Texas	1032	543	303	137	48	21	249
Utah	213	120	52	21	4	2	27
Vermont	302	181	64	27	9	3	14
Virginia	308	139	82	40	17	10	100
Washington	315	147	75	37	12	8	39
West Virginia	389	164	78	40	12	6	55
Wisconsin	661	336	165	85	36	18	71
Wyoming	71	32	18	8	4	1	22
	23915	11793	6330	3238	1265	610	3005
CANADA							
Alberta	84	50	23	8	6	3	....
British Columbia	83	49	28	17	6	4	....
Manitoba	91	44	15	6	4	2	....
New Brunswick	126	49	26	10	3	2	....
Newfoundland	118	70	24	9	2	1	....
Nova Scotia	336	171	81	27	11	3	....
Ontario	784	374	189	104	39	20	....
Prince Edward Island	36	14	6	2	1	1	....
Quebec	898	599	367	143	21	10	....
Saskatchewan	117	34	14	8	4	3	....
Yukon	2	2	1	1	0	0	....
	2675	1456	774	335	97	49	....

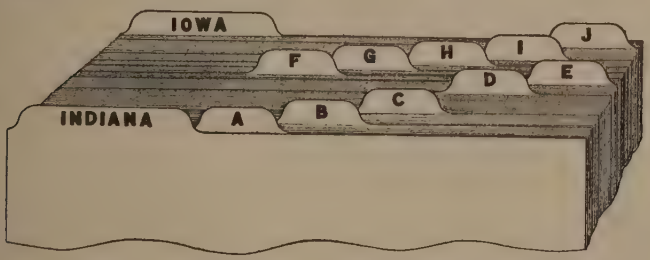
403. STATE, TOWN, AND NAME GUIDING. When used, the arrangement is made first according to states, all material pertaining to the town being filed alphabetically by name of town, and then alphabetically as to individual.

404. When the material is filed by name of the individuals within the towns, the use of county grouping should be avoided, as it tends to complicate the filing with the possibility of errors, and trouble in locating material when required.



405. If the necessity of providing for miscellaneous matter arises, it is possible to carry a miscellaneous folder for each town.

406. State and Name Guiding. By disregarding the town as a unit, one move can be saved over the arrangement just described, at the same time allowing the substitution of guides in alphabetic arrangement instead of the town guides.



407. Stencil Plates. In filing stencil plates covering lists of names national in distribution, such as the subscription list of a magazine, the arrangement must be in accordance with the post-office department routing.

408. Information as to the exact arrangement applicable

should be obtained direct from the post-office authorities in each instance, as the rules in effect may be superseded due to changing conditions.

409. Whenever correspondence is filed geographically, a card index list of names contained in the files should be maintained in alphabetic order. This will insure location of material that might come to hand without the address being stated.

410. In every instance geographic filing necessitates the recording of the name, town, and state on the individual folder.

CHAPTER X

SUBJECT FILING

411. The amount of material to be filed under subject headings will vary in different organizations. In some instances it may be almost negligible, being merged into the regular correspondence files; in other cases running into such volume as to require special files.

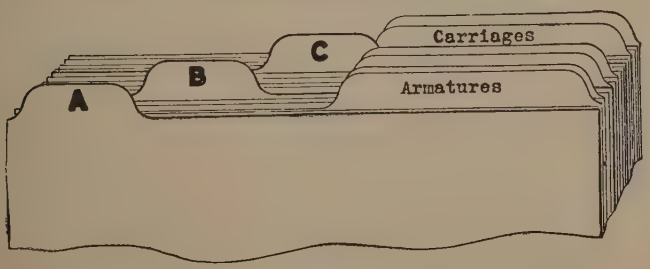
412. In instances where the subject files run into volume, due to the fact that greater importance is attached to the subject than to the individual concerned, the arrangement of the files should be given careful consideration, making allowance for the possible growth of the files.

413. When the subject file is operated in a separate and distinct group from the regular files, or the regular files maintained under a form of subject arrangement, operation may be in any one of three ways:

(a) Direct alphabetic arrangement
(b) Decimal arrangement
(c) Numeric arrangement

Direct Alphabetic Arrangement

414. This is the simplest form of the subject file. It is



operated in the same manner as the direct alphabetic correspondence files, with a set of alphabetic guides, and a series of folders carrying subject designations instead of names.

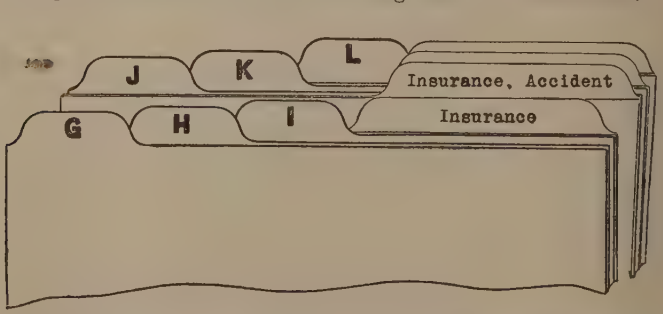
415. This method of filing may prove satisfactory in many instances, provided the material does not run into volume or ramification of subjects.

416. As soon as the necessity for division of subjects develops, the alphabetic method shows a marked weakness due to the cumbersome work required to cross-index or cross-reference.

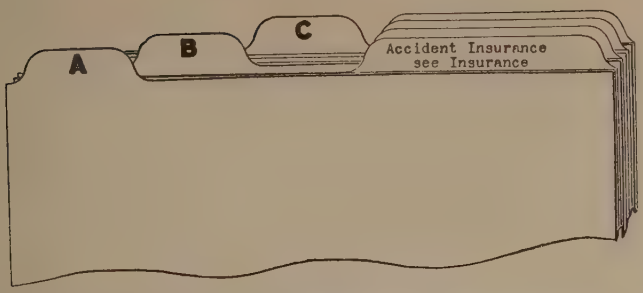
417. To illustrate—a folder is opened under the heading "INSURANCE," is filed in alphabetic order behind the "I" guide, and contains all material on this subject.

418. After the file has been in operation for a time it becomes desirable to separate the material into finer divisions, such as accident, automobile, burglary insurance, etc.

419. This can be accomplished by taking a new folder, placing in same all of the material pertaining to accident insurance, marking the folder "INSURANCE, ACCIDENT," and filing it behind the first folder bearing the title "INSURANCE."



420. In order to complete the files, a cross reference must be inserted in the "A" section of the files, referring from "Accident" to "Insurance."



421. As the number of subjects or amount of material to be handled increases, the difficulty in handling the files under the alphabetic method will increase proportionately, due to the inability to cross-reference satisfactorily without a great amount of labor and the lack of a positive check as to the filing of other papers on the same subject, papers frequently being split between two files.

Decimal Arrangement

422. This arrangement is based upon the Dewey decimal classification used in public and private libraries to obtain the necessary grouping of the books.

423. The Dewey classification divides the field of human knowledge into nine main classes, the tenth class covering cyclopedias, periodicals, and other works of so general a character that it would be impossible to place them in any one of the other nine divisions.

000 General Works	500 Natural Science
100 Philosophy	600 Useful Arts
200 Religion	700 Fine Arts
300 Sociology	800 Literature
400 Philology	900 History

If the group of Useful Arts was selected, it would be further divided into nine parts:

600 Useful Arts
610 Medicine
620 Engineering
630 Agriculture
640 Domestic Economy
650 Communication, Commerce
660 Chemical Technology
670 Manufactures
680 Mechanic Trades
690 Building

If the subject of Engineering was taken, it would be found to resolve itself into nine subdivisions:

620 Engineering
621 Mechanical Engineering
622 Mining Engineering
623 Military and Naval Engineering
624 Bridges and Roofs
625 Railroad and Road Engineering
626 Canal Engineering
627 River, Harbor, and General Hydraulic Engineering
628 Sanitary Engineering—Water Works
629 Other Branches of Engineering

424. Adaptations of the Dewey decimal classification can only be used to advantage where the number of main groups or classes can be limited to nine, the secondary and subsequent divisions being limited to the same extent.

425. In connection with railroad work an adaptation of the Dewey classification has been developed by W. H. Williams, of the Baltimore & Ohio Railroad Company; another has been developed in connection with telephone companies' records, both of them having been published in book form.

Numeric Arrangement

426. In instances where the number of groups or main classes are likely to exceed nine divisions, a primary and secondary number classification can be used to better advantage.

427. As compared with the decimal system, this classification has the following advantages:

(a) Unlimited number of primary divisions against a maximum of nine in the decimal notation.

(b) Unlimited number of secondary divisions against a maximum of nine in the decimal notation.

(c) Maximum of 26 tertiary divisions against a maximum of nine in the decimal notation.

428. This is accomplished by eliminating the decimal feature, and continuing the primary and secondary numbers beyond the numeral nine in both divisions.

429. The dash or hyphen should be used between the primary and secondary numbers instead of the decimal point or period, as it is easier to read.

430. In the average organization the tertiary division can be taken care of by suffixing a letter of the alphabet to the secondary number, the 26 letters of the alphabet usually being sufficient to cover the requirement of this division.

431. The following classification of subjects shows an adaptation of the decimal method paralleled with the primary and secondary form of notation, both using the same subjects as far as the decimal notation goes, with the addition of others in the other form of notation.

432. Comparison of the Decimal Arrangement with the Duplex Numeric Arrangement (showing the possibility of expansion in the latter that is lacking in the decimal classification):

Primary Divisions

Decimal	*Duplex Numeric*
000 General	
100 Associations and Institutions	1 Associations and Institutions
200 Banking	2 Banking
300 Investment-Speculation	3 Investment-Speculation
400 Accounting	4 Accounting
500 Public Service	5 Public Service
600 Insurance	6 Insurance

700 Professional	7 Professional
800 Real Estate	8 Real Estate
900 Corporations	9 Corporations
	10 Production
	11 Distribution
	12 Agriculture

Secondary Divisions

Decimal	*Duplex Numeric*
600 Insurance	6 Insurance
610 Accident	6 - 1 Accident
620 Automobile	6 - 2 Automobile
630 Life	6 - 3 Life
640 Fire	6 - 4 Fire
650 Burglary	6 - 5 Burglary
660 Marine	6 - 6 Marine
670 Fraternal	6 - 7 Fraternal
680 Boiler	6 - 8 Boiler
690 Other types	6 - 9 Title
	6 - 10 Industrial
	6 - 11 Liability
	6 - 12 Plate Glass
	6 - 13 Fidelity-Bonding
	6 - 14 Employers' Liability

Tertiary Divisions

Decimal	*Duplex Numeric*
640 Fire Insurance	6 - 4 Fire Insurance
641 Losses	6 - 4 a Losses
642 Agents	6 - 4 b Agents
643 Rates	6 - 4 c Rates
644 Danger Zones	6 - 4 d Danger Zones
645 Statistics	6 - 4 e Statistics

433. In the same manner as outlined in the description of the numeric system, an index card must be written for the title or subject assigned to each group with the necessary cross-index cards. (See §§ 366 to 368.)

Insurance	6
Accident	6 - 1
Automobile	6 - 2
Life	6 - 3
Fire	6 - 4
Losses	6 - 4 a

434. The cross-index cards are filed in the proper alphabetic sequence behind the same set of guides used for the cards representing the various groups, so that the subject or any of its ramifications can be located no matter which way they occur to the person consulting the index.

435. The papers pertaining to a subject are indexed as indicated in the foregoing, and are then filed in a folder or envelope under the number assigned to that particular subject.

436. Where papers relate to more than one subject, they should be filed under the most important one, and a cross-reference sheet or card be inserted in the folders of the other subjects, indicating where the material in question is filed.

Subject WATER File No 2 - 4 a

For additional information on this subject see the following:—

TITLE OF BOOK OR ARTICLE	Catalog or File No	Page
Distilled Feed Water - C F Hirshfeld (1915)	6 - 1, V. 49	724
Scale Forming "hardness" temporary and permanent see "Factory Power Plants" Myers (1915)	B 40	92

CHAPTER XI

LOST PAPERS

437. One of the most exasperating things in connection with filing is a lost paper. Serious consequences have so often resulted from such loss, either temporary or permanent, that any precautions taken to prevent them might be considered justifiable.

438. When conditions are analyzed it usually develops that the blame for lost papers can be laid to a large extent against the executive department of the organization, due to:

(a) Failure to establish definite rules regarding the handling of all papers in all departments.
(b) Failure to establish filing department rules, giving definite instructions and fixing responsibility.
(c) Failure on the part of executives to adhere to rules that they have made.

Misfiling and Its Causes

439. Incorrect guiding of material in a file drawer will create a chance for misfiling, due to complicated designations in alphabetic guiding, or excess of guides in proportion to the volume of material.

440. Insufficient guiding, or the total lack of guides, is equally bad, as there is no definite division nor minimum number of guides maintained, always leaving the possibility of putting the material in the wrong folder.

441. Good guiding in a correspondence, invoice, or credit record, etc., should allow 30 to 40 guides per drawer of 24 inches in depth.

442. Lack of uniform rule regarding the location of the

material filed in relation to the guide governing the group covering such material.

443. All folders, papers, etc., should be filed *behind* the guide covering the group, *never* in front of the guide.

444. Use of the double designation on guides limits the material to the boundaries maintained by the guide, necessitating exceptions for all material too heavy in volume to be filed within the group. (See §§ 213 to 215.)

445. Use of guides in the files without the check-sorter projection, thus allowing the folders or papers to slip under the guides to the bottom of the drawer.

446. Permitting the overloading of folders, the increased volume of material expanding the folder to such an extent that the papers in the file stand higher than the front or back flaps of the folder that contains them.

447. If two or three heavy folders happen to come together in the files, there is a chance of misfiling due to the end of one file and the beginning of the next not being clearly defined, papers being put in the wrong folder or between folders.

448. This can be readily overcome by the use of an expansion folder or by inserting an additional folder in front of the one in use, in which event the first folder should be marked with the date the file was started and the date of the last paper.

449. Regardless of the number of folders, those containing the papers of earliest date should not be removed until such time as the regular transfer is made.

450. Carelessness in returning folders to the file, putting them in the wrong places, sometimes putting one folder inside of another.

451. Folders misfiled in this manner cannot remain un-

discovered for any length of time if the file clerk keeps the file straightened up; i.e., sees that the file papers do not protrude beyond the top or edges of the folder, that torn folders are replaced, and that the follow blocks are kept jacked up against the material as snugly as possible.

452. File Drawer too Full. An overloaded file drawer is only an aggravated case of the overloaded folder, developing the same conditions. Every drawer of the file that is filled so full that papers have to be forced into the folders, or that folders removed have to be forced back into place, means a decided decrease in the efficiency of handling the files.

453. The ordinary paper clip found in use in almost every office is another cause of misfiling: Papers thrown into the file trays with clips fastening them together frequently pick up another paper by means of this clip, and the slightest laxity on the part of the file clerk means a misfiled paper.

454. When necessary to have papers fastened together, it should be accomplished by use of a stapling machine, or else by pasting the sheets together in the extreme upper left-hand corner.

455. Numeric Filing. Failure on part of the operator to check the number marked on the paper, against the number of the folder, and the number on the paper previously filed.

456. Transposition of the file number when marking the number on the paper.

457. Failure on the part of the person releasing the paper for filing, to designate the subject under which it should be filed.

458. Alphabetic Filing. Failure on the part of the operator to check full name or subject on the paper against

the name on the folder. This happens most frequently when a repetition of common names occurs.

459. In the preceding paragraphs some of the causes of misfiling have been described, all of which can be eliminated if proper rules are made governing the filing department and adequate equipment is provided.

Missing Papers

460. Missing papers may be divided into four classes:

(a) Papers that have not reached the files.

(b) Papers that have been removed from the files without adequate record being made to indicate by whom taken.

(c) Papers that have been misfiled—due to carelessness on part of file clerk or others, overcrowding of the files, etc.

(d) Papers showing two subjects or titles without definite selection of one or the other, and lack of any standard rule covering the filing or cross-indexing.

Papers That Have Not Reached the Files

461. No matter what rules or routine may be established, the most flagrant violator of such rules is usually the head of the organization, or an executive in some department.

462. This is repeatedly evidenced by the examination of the pending tray or basket on any busy executive's desk, which will invariably be found to contain a number of papers that have never been through the file clerks' hands.

463. This does not refer to papers that have not received initial attention, but to material where the replies have been written and held, pending final disposition.

464. Another development of similar nature is the sidetracking of papers in the desks of subordinates whose intentions are better than their execution.

465. As instances of the foregoing may be cited missing papers found:

(a) Sandwiched between supplies of stationery in the desks of stenographers or clerks.

(b) In the drop pocket of a standard typewriter desk, which has yielded everything from originals and carbon copies of letters, to pencils, erasers, carbon paper, and rubbish of various kinds.

(c) In drawers or pigeonholes of desks.

466. The papers in the pending tray or basket on the executive's desk can be taken care of to much better advantage in the current files and brought back to his or her desk each day as they may require attention, by means of a tickler system.

467. Where subordinates are involved, a rule should be made providing that all unfinished business shall be kept in one folder or basket, and a definite place either on or in the desk provided for such receptacle.

Papers Removed from the Files

468. With the exception of very small organizations, folders or papers removed from the files should be charged to the person taking same, by means of substitution records or receipts.

469. Such action establishes the responsibility for the papers and enables the file clerk to locate such papers promptly should they be required by another person.

470. If such substitution records or receipts are not maintained, it means a desk-to-desk canvass until the papers have been found.

Papers That Have Been Misfiled

471. Papers misfiled may often be found in the folder preceding or following the one in which they belong.

472. If the files are overcrowded, look between the folders, also on the bottom of the file drawer, under the folders.

473. If no guides are used in the file, or guides used have no check-sorter projections, a folder or paper may slip to the bottom of the file drawer.

474. In alphabetic files look through folders containing correspondence with similar names.

475. In numeric files look over the index for similar names and then check out each folder to see if a wrong file number has been assigned to the paper.

476. Examine the contents of folders bearing numbers that might be transpositions of the correct file number; e.g., if a paper is missing from folder 76, look through folder 67; if missing from 187, look through 178; etc.

477. Look up previous correspondence, if any, to see if it carries a proprietary name as well as that of the owner or partners in the concern; e.g., "Brown and Wilson" might be the proprietors of the Atlanta Dry-Goods Company, writing at one time under one name and later under the other, in which event there might be two different files opened.

478. This can be obviated by cross-indexing, giving preference in filing to the firm name rather than the proprietary one.

479. Misfiled papers in a subject file are apt to be filed under some synonym of the subject, a new file being established under the synonym.

480. By cross-indexing under the various synonyms to the accepted subject heading, this trouble can be eliminated.

CHAPTER XII

TRANSFERRING

481. Due in the majority of instances to a mistaken idea of economy, some executives refuse to consider the expenditure of money for proper transfer equipment in any other light than a needless expense.

482. Yet the same executive will waste the time of a number of employees (usually high-priced ones) hunting for some particular paper that has been removed from the current files, tied up in paper packages, and then stored away in packing boxes in some out-of-the-way place.

483. The transferring of papers should be considered from the following standpoints, and transfer equipment provided for the care of this class of material in accordance with the plan best adapted to the needs of the organization.

Methods of Transfer

484. There are three methods available by which the transfer of dead material can be accomplished:

(a) Periodic shift of the entire contents of the file to transfer equipment of equal capacity.

(b) Maintenance of multiples of the regular files, each unit of equipment containing equal periods.

(c) Continuous transfer at regular intervals, retaining in the current files all material bearing dates included within the fixed minimum period immediately preceding the date of transfer.

Periodic Transfer

485. This is the easiest way to transfer, as it simply means the removal of the guides and folders with the material

from the current files to transfer drawers or boxes, and the insertion of a new set of guides and folders in the current files.

486. Each transfer drawer or box should be labeled to show the contents. If alphabetic, the label should show the section of alphabet contained, as indicated by the first and last guides in the transfer, with the addition of the year or other period contained.

487. If a numeric system is used, the contents should be indicated by designation of the numbers of the first and last folders, and the year or other period contained. (See § 384 c.)

488. This method can be used in organizations where the percentage of reference is small, the papers being to a large extent of a miscellaneous character which would permit of their elimination from the current files at an early date.

Multiples of Current Files

489. When this method is employed, the current files are operated for a fixed period, say one year, and at the end of that time the equipment is duplicated to take care of the filing for the succeeding year.

490. At the end of the second period, the material in the files covering the first period is removed and placed in transfer cases, or destroyed, according to the requirements of the organization.

491. The equipment from which the transfer is made is then available for filing of material covering a new period.

492. In a business of a seasonal nature, necessitating reference to the files of the corresponding season of the preceding year, the amount of reference of this character is usually sufficient to warrant investment in the duplicate equipment.

493. With the equipment required to carry one year's material duplicated, a minimum of one year and a maximum of two years are always available.

494. If the transferring is handled in this manner, it will be found advisable to carry the current period in the upper drawers of the files (providing standard four-drawer vertical files are used), and the previous period in the lower drawers, this affording quicker access to the current material in the upper drawers both from the standpoint of filing and reference.

Continuous Transfer

495. This method necessitates the establishment of a fixed minimum and maximum period for the current files. If the material is to be retained for a minimum of one year, the maximum can be made one and a half years or greater if desired.

496. At the end of the maximum period, each folder is examined and all papers over a year old are removed and placed in transfer files in the same order.

497. If a folder contains no material bearing a date within the year or other minimum period, the entire folder should be removed and placed in the transfer files.

498. This plan differs from the others as it allows the work of transferring to be carried on without holding up the regular current filing until such transfer is completed, the method being a process of elimination of the dead material between two fixed dates.

499. When the material is retained for a number of years, the transferred material can be arranged so as to bring all of the material of one correspondent or subject together in one place.

500. When this arrangement is desired, the transfer drawers or cases should only be filled about half full at the time of the first transferring, so as to allow for future transfers without the necessity of shifting all of the material in order to make room for the material transferred later.

501. In some offices where the reference to transferred material over a year old is slight, the files are kept by years without merging the material of one period with that of the previous period.

502. Folders that are full should not be transferred at any other time than the regular transfer period. (See §§ 260 to 262.)

503. When operating under a numeric system, a common mistake is made by file clerks in replacing transferred folders with a complete set of numbered folders in consecutive order, disregarding the fact that some correspondents of one year may not be correspondents the next year. (See § 384 b.)

504. Folders should be numbered and put in the current files after the transferring only at such times as they may be required for the filing of the papers of a given correspondent.

505. *Exception.* It frequently occurs that an organization using the numeric system will give a customer the same number for his ledger account and the correspondence file, using the same index for both.

506. In instances like this, it may be advisable to transfer all of the old folders and replace them with an entire new set. Such procedure would depend upon the individual conditions.

507. Exceptions of this nature are usually due to the fact that no account number or file number is assigned to a correspondent until actually developed into a customer. Until that time all papers are filed in a miscellaneous, alphabetically arranged file.

Destroying Papers

508. Depending upon the line of business as well as the nature of the records, the length of time transferred papers should be kept will vary with each case considered.

509. For instance, if a record is taken of customers' names and addresses, a mail-order house will seldom require correspondence more than a year back.

510. On the other hand, it is nothing unusual to have a foreign correspondent refer to an order, or a letter, of ten or fifteen years ago, requesting a duplication of the order or further information in connection with the subject involved.

511. In businesses of seasonal nature, transferred material can seldom be disposed of short of two years, and in some instances must be kept a great deal longer.

512. Another factor entering into this question is the statutes of limitations governing the time limit and manner of bringing suits to collect a given indebtedness. These vary according to the state in which the action is brought. In New York it is six years.

513. Some concerns will not permit the destruction of any papers unless the dates of such papers fall outside of the statutes of limitations.

514. Under no circumstances should papers be destroyed without proper authority, preferably in writing.

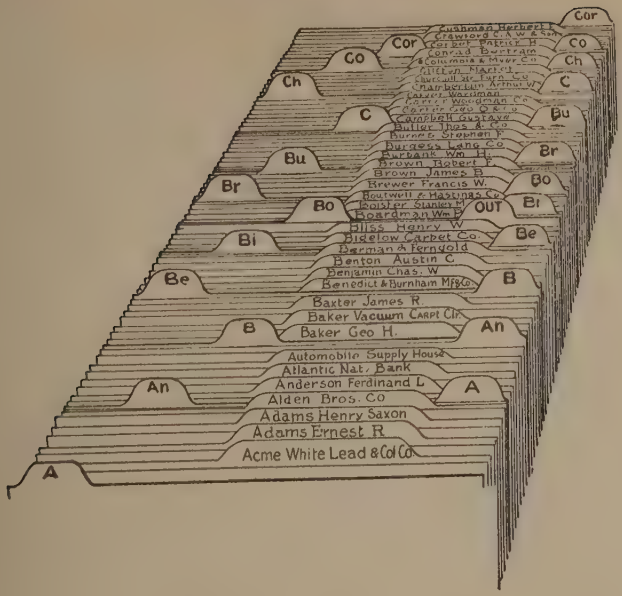
Guides in Transfer Files

515. When transferring papers filed under a numeric system, it is not necessary to transfer the guides, as the folders will be in sequence of numbers, although they may not always be in consecutive order.

516. In direct alphabetic filing, the better grade equipment provides a tabbed miscellaneous folder, one for each division of the alphabet, the tabs printed with the same designations as the guides. (See illustration, page 111.)

517. This arrangement permits the use of the tabbed miscellaneous folders as guides in the transfer files, leaving the regular guides in the current file.

518. This method of guiding transferred files effects a



material saving in the cost of transferring, as the miscellaneous folders taken from the current files cost considerably less to replace than the guides.

519. When used in this manner, it must be remembered that the miscellaneous folder usually marks the end of the division represented by the designation printed on the tab; consequently all material of that particular division of the files will ordinarily be found in front of the miscellaneous folder, unless a rearrangement was made at the time of transferring so as to bring the miscellaneous folder in front of the individual folders of the same group.

520. In order to insure the return of the folders taken from the transfer files for reference, to the proper files, all folders put in the transfer files should be stamped along the

top edge of the front flap of the folder with the word "TRANSFERRED" followed by the designation of the period represented by the papers in the folder.

521. If the transferred folder contained the correspondence for the entire year of 1914, it would be stamped "TRANSFERRED 1914"; or if it contained less than the year's correspondence or papers, say the first six months, it would be stamped "TRANSFERRED JAN. to JUNE, 1914"; etc.

522. *Exception.* When the transferred material of one period is merged with that of a preceding period, it will be found impractical to mark the folder or transfer file with the final date as this will be changed with each succeeding transfer.

523. By marking the folder and transfer file with the earliest date contained, the final date could be omitted until such time as a break was made in merging, and a new set of transfers started.

524. When transferred material of one period is not merged with that of a previous period, it is recommended that the paper bearing the earliest date in each individual folder be stamped as shown below, to indicate that there is previous correspondence in the transferred files if such is the case.

FOR PAPERS PRIOR
TO THIS DATE
SEE TRANSFERRED

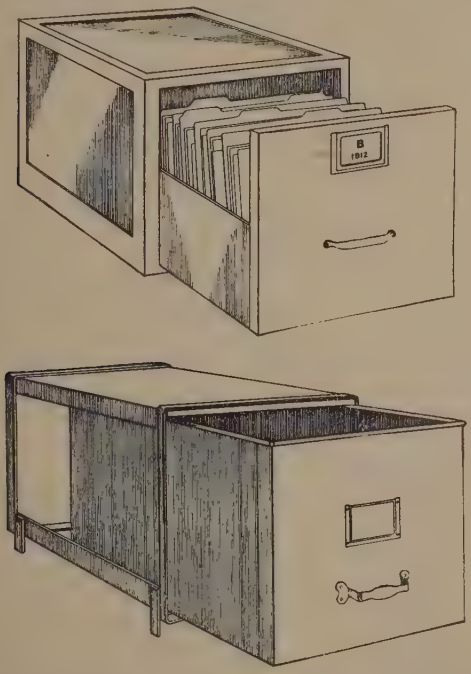
525. The use of a rubber stamp in this manner will save time in reference work, as the absence of the imprint indicates that there is no correspondence or papers prior to the date or period examined.

Transfer Equipment

526. While it is not always the most important factor in

deciding the type of transfer receptacle to be used, the question of the space available for transferred material must receive consideration.

527. When sufficient floor space is available, the unit drawer type of transfer (either wood or steel) will be found to be the most satisfactory proposition.

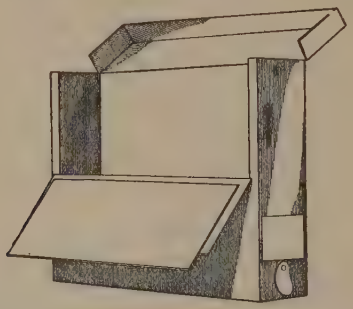


528. This type of file can be stacked one on top of the other without the use of shelving, running the stack as high as it may be found desirable, the drawer of any unit in the stack being accessible.

529. Each drawer will take the equivalent of the con-

tents of a standard vertical file drawer (usually 24 inches deep), and can be used with any method of transfer desired.

530. If the floor space is limited, but the wall space will permit of the erection of shelving, the pamphlet box type of transfer can be used to advantage.



531. Pamphlet boxes are made in sizes (height and width) conforming to standard sizes of the vertical files, e.g., correspondence, invoice, legal cap, etc., but varying in thickness, this governing the volume of material that can be filed in each box.

532. The thickness or depth of a pamphlet box runs approximately three, four, and five inches; of these three sizes the four-inch box is the one most favored, as the three-inch box holds too little material, and the five-inch box is too heavy for general use.

533. In comparing capacities it will require six four-inch pamphlet boxes to take the equivalent of one standard unit transfer drawer.

CHAPTER XIII

CENTRAL FILING DEPARTMENT

534. With the growth of an organization, duties originally attended to by the proprietor are delegated to subordinates with the consequent building up of departments, each having a certain function.

535. As these departments develop, correspondence and other papers accumulate, the filing being carried on under a system installed by the department head or some assistant.

536. On this basis the varieties of filing frequently equal the departments from the numeric standpoint, each department operating without consideration of the others, with the result that when a paper is wanted it usually means a canvass of one department after another until it is located.

537. The establishment of the central filing department as a clearing house for all papers has been the means of eliminating many of the troubles common to departmental filing, and in the average organization offers the following advantages:

(a) The files are centralized at one point and maintained under a standard system, this bringing all material relating to a given correspondent or subject together in one file or series of files.

(b) Files in charge of an experienced file clerk can be kept in better shape than the scattered departmental files in the care of one or more individuals in each department.

(c) Responsibility for the correct filing of the papers is fixed, with the file clerk in position to keep track of all papers taken from the files and to check the return of such material to the files.

538. The location of the filing department should be considered in relation to the other departments of the organization, and should be so situated as to permit of the delivery of material from the files to any point promptly.

539. Any arrangement that relegates the filing department to some obscure corner, usually reacts to the detriment of the entire organization, the highest paid executives and employees suffering most on the score of lost time.

540. After the location of the department has been decided upon, the next consideration is the physical arrangement of the filing equipment, which should afford ready access to any part of the files from the working center occupied by the indexer's desk (if any), the sorting trays, and tables.

541. In instances where more than five or six units are used, the stringing out of the files in one straight line should be avoided as far as possible, as it almost invariably means lost time.

542. The allotment of a rectangular space permitting of an arrangement of the files against three walls of the room or three sides of the space, generally gives the best results.

543. The amount of space required in the center will vary, depending upon the number of filing cabinets required and the number of file clerks needed in the operation of the department.

544. When the space permits, it will be found preferable to give each file clerk a small desk or table, instead of a large table for the general use of the entire filing department staff.

545. The establishment of a central filing department does not necessarily mean that all of the papers coming to this department must be merged in one general file.

546. The divisions maintained will depend upon the needs

of the organization in each instance, variations being governed by the size of the concern and the special requirements of the different departments.

547. The divisions that it may be found desirable to establish would ordinarily be grouped as follows:

(a) General and miscellaneous correspondence.
(b) Branch office or factory correspondence, reports, etc.
(c) Private correspondence (under lock and key).
(d) Credit information (under lock and key).
(e) Information and data.
(f) Drawings and blue-prints (if any).
(g) Copies of sales invoices (reference copies, not accounting department).

548. Such material as the private correspondence and credit information should be kept under lock and key, be filed by the head file clerk, and be issued only to individuals having the authority to requisition it.

Departmental Routine

549. Rules and instructions governing the operation of the filing department and its relations with other departments should be clearly set forth in writing, and a copy of such rules with amendments and changes (when made) should be furnished to each department throughout the organization.

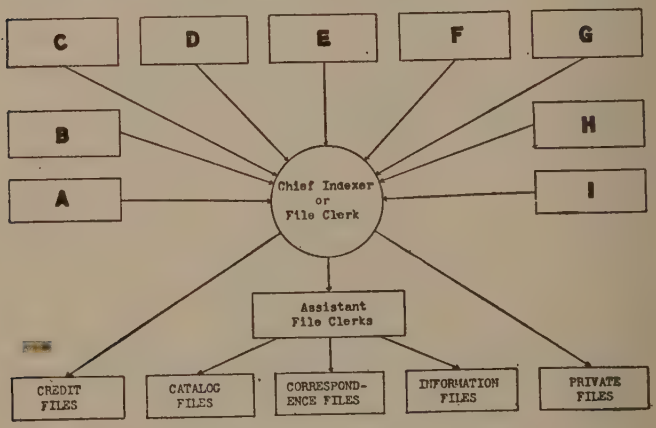
550. Such rules should define in detail:
(a) Method of filing.
(b) Divisions of the files.
(c) Individual responsibility (if more than one clerk).
(d) Collection of material to be filed.
(e) Rough sorting, indexing (if system requires it), and filing of material.
(f) Issuance of material requisitioned.
(g) Transferring and destroying of papers.

551. When there is more than one file clerk, one of them

should be placed in charge of the department, the subordinate file clerks being assigned certain sections of the files, or definite duties in relation to same.

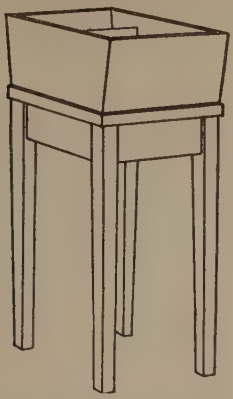
552. The collection of material to be filed should be made at least once each day, oftener if the conditions demand, the locations from which such collections are to be made being definitely indicated.

553. This can be accomplished by listing the various points from which collections are to be made, or they can be indicated by means of a chart showing the channels through which the material reaches the files.

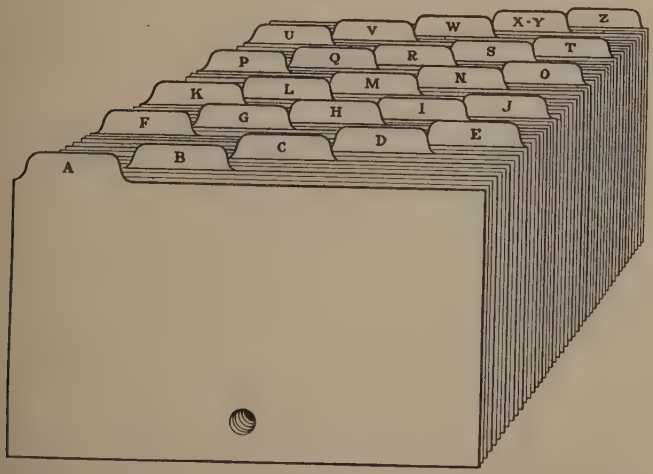


554. In instances where material is called for while in process of filing, sorting trays should be used to accomplish the rough sorting to alphabetic divisions which will permit of access to the papers according to the name or subject during this period.

555. When the filing is maintained under an alphabetic arrangement, the sorting tray can be placed beside the files and the material taken out to file as required, the guides

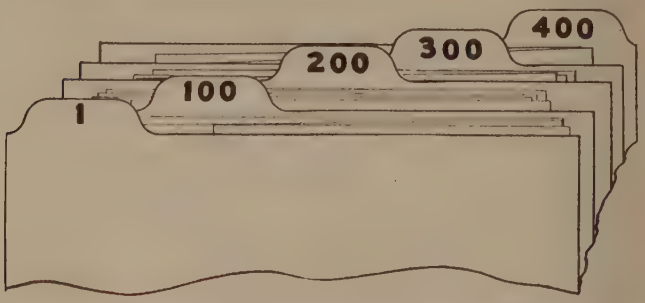


usually being a straight alphabetic set (one guide to each letter of the alphabet).



556. Under a numeric arrangement, as soon as the material is arranged alphabetically, the sorting tray should be taken to the indexer's desk, the papers indexed, and then

reassorted according to numeric groups, usually by hundreds, the guides in the sorting tray being numbered by hundreds.



557. In instances where the material to be filed runs into volume, the type of sorting tray illustrated in the preceding paragraphs can sometimes be replaced to advantage with sorting racks, consisting of a series of pigeonholes approximately 12 inches wide, 9 inches deep, 3 to 4 inches high (for correspondence or papers up to 8½ by 11 inches), and built so as to incline downward from front to back and thus prevent the papers from falling out.

558. The issuance of material to individuals should be governed by the rules set forth in §§ 270 to 284.

559. Transferring and destroying of papers are covered under Chapter XII, "Transferring."

CHAPTER XIV

CLASSING AND GROUPING OF RECORDS

Surveys

560. In the installation of filing systems it is essential that the system selected be one that will meet the requirements of the organization.

561. This can be determined only after a careful analysis or survey of the various files in operation, if these are already established; covering the demands made upon them by the different departments, how the files are situated in relation to all departments, and the conditions and systems under which they are operated.

562. In new organizations the installation must be based upon the scope and plans of the business as well as upon the methods in use by others in the same line of business.

563. While it is true that no two organizations, even in the same line of business, will operate under exactly the same system, there is a certain amount of similarity that will permit of amplification or modification, provided the basic plan of operation is right.

564. When a filing system is to be installed, the answers to the following questions will disclose the general conditions under which the files are operated, and give a basis for the designing of the system to be installed.

Analysis of Filing Conditions

565. NAME OR TITLE OF ORGANIZATION

566. BUSINESS OR PROFESSION

567. Department or Division of the Files

568. Class of Record Filed

(a) Correspondence
(b) Sales invoices
(c) Purchase invoices
(d) Credit records
(e) Information and data

569. Kind of Material Filed

(a) Original letters
(b) Carbon copies
(c) Tissue press copies

570. Filing System

(a) Alphabetic
(b) Alphabetic-numeric
(c) Numeric
(d) Geographic
(e) Subject
(f) Decimal
(g) Whose make of equipment?

571. Filing Cabinets

(a) Size of drawer inside in inches—height, width, depth.
(b) Number of drawers.
(c) Style of file—vertical, horizontal, flat.
(d) Are files unit or solid construction?
(e) Are files steel or wood?
(f) Whose make of cabinet?

572. Handling of Papers

(a) Does incoming mail pass through this department prior to distribution?
(b) Are papers stamped with date of receipt?
(c) Are papers marked with the date that they are answered?

(d) Number of points from which collections are made.

(e) Number of collections per day.

(f) Are papers stamped or initialed to indicate that they have received attention and can be filed?

(g) Number of papers handled per day (average).

(h) Do employees, other than the regular file clerks, file any papers or folders away after using?

(i) Is record kept covering folders and papers removed from the files? Out guide or receipt card?

(j) Are entire folders taken, or only individual papers?

(k) State number of references per day to the file (approximately).

(l) Percentage of reference within six months (approximately).

(m) Percentage of reference within twelve months (approximately).

(n) Are letter copy books used? If so, are carbon or loose tissue copies filed in addition to the copy book?

573. Transferring of Papers

(a) Is business of seasonal nature requiring that files of previous season or year be available?

(b) Are papers destroyed? After what length of time?

(c) Kind of transfer case used—pamphlet box, wood drawer, steel drawer, shoe box type.

(d) Method of transfer. Periodic shift of entire contents of the file. Maintenance of multiples of regular files, separating periods. Retaining a minimum amount of correspond-

ence at each time of transfer, making periodic transfers.

574. CONDITION OF THE FILES

(a) If vertical file is used, how many guides per drawer?

(b) Kind of guides used—manila; pressboard, plain or metal-tipped; linen card stock, plain or celluloided.

(c) Folders used—manila, light or heavy weight; envelopes.

(d) Are folders overloaded?

(e) Does material slump in the files? Cause.

(f) Are file drawers overloaded?

575. FILE CLERKS

(a) Number of operators—male, female.

(b) What other duties, if any, devolve upon file clerks?

576. LOCATION OF FILE ROOM

(a) Location of file room in relation to other departments.

(b) Arrangement (attach sketch).

(c) Light.

(d) Space.

577. NUMERIC FILES (Vertical)

(a) Series of numbers—consecutive; consecutive with alphabetic prefix. Are secondary numbers suffixed? Are letters of alphabet used as suffixes? Are gaps left in numbering to maintain groups?

(b) What other uses, if any, are made of numbers?

(c) How is miscellaneous mail filed?

(d) Kind of index—bound book, loose-leaf, card, visible.

(e) If card index, state approximate number of

cards, and size of subdivision of guides. Attach sample of card.

(f) Date of installation of present index.
(g) Which predominates, names or subjects?
(h) What information is recorded on index?
(i) Amount of cross-indexing (approximate).
(j) Amount of cross-referencing (approximate).
(k) When was index last read and checked?
(l) Present condition of index.
(m) When files are transferred, are all folders replaced in the current files, or only such folders as may be required for new material?
(n) Are papers indexed before or after distribution?
(o) When there is more than one file clerk, are the papers filed by the same clerk who does the indexing?

578. Alphabetic Files (Vertical)

(a) Guides. Size of subdivision (number of guides to the alphabet).
(b) Arrangement of guides—fifth-cut, assorted positions; fifth-cut, first, second, and third positions.
(c) Folders. Are individual folders used? Are miscellaneous folders used? Are folders tabbed or straight-edged?
(d) Cross-indexing. Approximately how much? Method.
(e) Cross-referencing. Approximately how much? Method.

579. In most instances the greater portion of material to be filed consists of correspondence, official orders from customers, and office memoranda.

580. This constitutes the basic group around which the balance of the filing system is built, the other divisions

of the files depending upon the size and requirements of the organization.

581. Where the size of the concern is such as to warrant the maintenance of accounting, credit, sales, and purchasing departments, it may be necessary to establish divisions of the files to cover certain classes of material pertaining to these departments, which might be grouped as follows:

582. Correspondence division to include general, sales, and purchasing departments' correspondence, official orders from customers, office memoranda, etc.

583. Credit division to include credit records, mercantile reports, references, financial statements received from customers and other sources and serving to form the basis on which credit is established.

584. In some organizations this class of records is retained in the credit or accounting department, but wherever kept they should be in locked files.

585. Sales invoices, when filed in a central filing department, are usually an additional set of copies maintained for reference purposes. This is done in order to save the time of the accounting department staff in looking up ledger accounts to give reference numbers or folios pertaining to invoices or credits.

586. The filing of this class of material is treated in Chapter XXI of this volume under the heading "Filing of Sales Invoices."

587. Purchase invoices would not ordinarily be filed in the central filing department if the accounting department maintained a voucher system involving a voucher form to which the invoices were attached.

588. In organizations where a purchase ledger is maintained, these invoices can be filed independently of the correspondence, or, if considered desirable, they can be filed behind

the same set of guides but separated from the correspondence by the use of a colored folder for each set of papers, such folder containing nothing but invoices.

589. Details as to the method of filing purchase invoices will be found in Chapter XXII.

590. Catalogs and price lists are in some cases handled through the general file room, but are always maintained as a separate division of the files.

591. The method of filing catalogs will vary according to individual requirements and is taken up in detail in Chapter XVII, "Catalog and Pamphlet Filing."

592. Drawings and blue-prints should always be maintained as a separate division, but the method of filing should provide for the dovetailing of these files into the records to which they belong. For instance:

593. In an architect's or contractor's office, drawings and blue-prints can be filed according to the job number used to identify the client, while in a manufacturing concern the production order number would be used.

594. Information and data files should always be operated as a distinct group. If under numeric arrangement, the index would be separated from any other index.

595. The nature of the business or profession is more or less of a factor in deciding the groups or divisions of the files as illustrated in the following groups for different professions and businesses:

596. ARCHITECTS AND ENGINEERS

(a) Clients' contracts and agreements relating to same (usually kept in the safe).

(b) Job file containing correspondence with clients and contractors, and superintendents' reports in relation to the execution of the job.

(c) Trade file containing correspondence, circulars, etc., not relating to any specific job.
(d) Drawings and blue-prints (except full-size details).
(e) Drawings and blue-prints (full-size details).
(f) Specifications (sometimes included in job files).
(g) Catalogs and price lists.

597. Publishers of Periodicals

(a) Subscription orders, changes of address, complaints.
(b) Subscription index and expiration record.
(c) Subscription stencils (usually filed geographically).
(d) General correspondence.
(e) Advertising correspondence, orders, etc.
(f) Editorial—Manuscripts.
(g) Editorial—Illustrations.
(h) Editorial—Correspondence.

598. Manufacturing

(a) General and sales correspondence.
(b) Production orders and records.
(c) Catalogs and price lists.
(d) Drawings and blue-prints.
(e) Credit records.
(f) Information and data.
(g) Purchase vouchers and invoices.

599. Department Stores

(a) Customers' correspondence, orders, etc.
(b) Customers' applications for credit.
(c) Mail-order correspondence.
(d) Credit index.
(e) Advertising department correspondence, orders, etc.
(f) General correspondence.

600. In businesses of a seasonal nature, which include clothing, millinery, laces and embroideries, carpets, etc., reference to the records of the corresponding season of the previous year will frequently affect the method of transferring, and in some instances render it necessary to file copies of sales orders, etc., separately in the sales department instead of in the general files.

601. TERMINOLOGY. In establishing groups or divisions of the files, the title selected for the group should be as concise as possible, be descriptive of the class of material contained, and if there is any choice of terms, preference be given to those common to all lines of business.

602. Whenever the title is not descriptive, an explanation of such title should be written and filed for reference.

603. When papers to be filed pertain to a particular account or class of accounts, the title under which the file is to be opened should be determined by the accounting department.

604. The same rule is applicable to other departments of the business, particularly in connection with manufacturing data relating to raw material, tools and machinery, and finished product.

605. Prior to the adoption of the titles, the classification should be gone over very carefully to see that there are no duplications of files either in the same or different groups. This is most likely to occur through the use of different titles designating the same subject matter.

606. Such duplication can be almost entirely obviated if the management of the organization will determine upon one standard term or title for each subject, requiring all members of the organization to use the accepted title in referring to a given subject.

CHAPTER XV

NOTATION

607. Notation is defined as the method of representing numbers and quantities by marks and signs.

608. In indexing, notation is a method of representing subjects and their divisions and ramifications by signs, symbols, letters, numerals, or combinations of any two or more of these.

609. Its use provides the means of designating a subject in concise form, at the same time definitely establishing a fixed place in which material relating to a given subject can be found.

610. The form of notation to be used will depend upon the nature of the material filed, the groups into which it is divided, the probable or possible expansion of the groups and their divisions, and whether the entire range of subjects, or the greater part of them, can be definitely designated.

611. All groups or classes should be treated as co-ordinate, and divisions of these as subordinate to the group or class, but co-ordinate as to each other within the group or class, while subdivisions bear the same relation to the division as the division to the group or class.

612. For the purpose of designation, the forms of notation may be classed as follows:

Numeric
Duplex numeric or primary and secondary numeric
Alphabetic-numeric
Decimal
Alphabetic

613. NUMERIC. This form, sometimes designated as a

straight numeric system, assigns a number arbitrarily in sequence to each name or subject, and can be used satisfactorily for material that while increasing in volume of names or subjects does not have divisions or subdivisions.

614. When this form of notation is used, grouping by means of blocking, or leaving gaps in numbering should be avoided, as such a course makes it necessary to leave a larger block of numbers open than necessary, or else run the risk of overlapping with the numbers of the next block. This, if it occurs, necessitates the starting of a new series of numbers, making two places to look for the same material.

615. If the filing is started on a straight numeric basis, with the titles assigned to cover broad groups, it would be possible to expand it to a duplex numeric system either in part or in its entirety if need be.

616. For example, take the subject of insurance. At the time of starting the files there might be very little material and this more or less general in character, which would be placed in one folder numbered 4.

617. Later it might develop that a quantity of material was being received relating to various kinds of insurance, at which time it could be rearranged in folders, all general material being left in the number 4 folder, and the balance of the material classified, each class being placed in a separate folder.

618. Duplex Numeric or Primary and Secondary Numeric. Using the original or primary number as a group designation, the folders covering the divisions would be numbered in consecutive order, e.g.:

4 Insurance
4 - 1 Accident
4 - 2 Automobile
4 - 3 Fire
4 - 4 Burglary

619. This would permit of the maintenance of one file containing all papers up to the time that expansion was necessary, due either to the volume of material or the classification of it.

620. Should further expansion be required, a third division can be made by suffixing letters of the alphabet in rotation, e.g.:

4 - 3 Fire Insurance
4 - 3 a Losses
4 - 3 b Agents
4 - 3 c Rates
4 - 3 d Danger Zones

621. The index cards would be made out for each division and subdivision as they are added, all of these items being listed in rotation on the original index card covering insurance.

622. When carried out to this extent, this method affords an unlimited number of primary groups or classes, an unlimited number of secondary divisions, and a maximum of twenty-six tertiary divisions.

623. Alphabetic-Numeric. This term is applied to the form of notation using a letter of the alphabet prefixed to the number to indicate either the group or the series.

624. When used in this manner the prefixed letter represents the first grouping, usually of related subjects or classes, divisions being made in accordance with the requirements, as in the following example:

A 1
B 5 - 3
C 9 - 15
D 7 - 10 a

625. This would give two, three, or four divisions, the third and fourth divisions being developed as needed, and would give expansion limiting the number of groups at certain points:

(a) First division limited to 26.
(b) Second division unlimited.
(c) Third division unlimited.
(d) Fourth division limited to 26.

626. In maintaining numeric files where the number of files run into volume, the letter is frequently prefixed to distinguish one series from another, the series usually being limited to a certain range of numbers, e.g.:

1 to 10,000 would represent the first series,
A 1 to A 10,000 the second series, and
B 1 to B 10,000 the third series

627. This is used in numbering checks, purchase or sales orders, and similar records so as to avoid a great number of digits to be written or transcribed from one record to another.

628. When used to number requisitions, the prefixed letter is frequently used to indicate the department from which it is issued.

629. Decimal Arrangement. This form of notation is described in Chapter X, "Subject Filing," §§ 422 to 425 inclusive, and is applicable to files operated on that basis.

630. Alphabetic. While affording the greatest expansion, this form is the least satisfactory in general operation, due to the fact that a majority of operators find it more difficult to retain a combination of letters than one consisting of numbers, or letters and numbers.

631. When used the first letter of the combination represents the group, the second letter the division, and the third and subsequent letters the subdivisions.

632. In some instances this is carried out on a mnemonic basis, using letters of the alphabet that coincide with the initial of the title of the group.

633. The following table shows a comparison of the various forms of notation described, using the same group of subjects, divisions, and subdivisions.

	Numeric	Duplex Numeric	Alphabetic-Numeric	Decimal System	Alphabetic
Associations and Institutions	1	1	A	100	A
Banking	2	2	B	200	B
Investment-Speculation	3	3	C	300	C
Insurance	4	4	D	400	D
Accident and Health		4 - 1	D 1	410	Da
Automobile		4 - 2	D 2	420	Db
Fire		4 - 3	D 3	430	Dc
Losses		4 - 3 a	D 3 - 1	431	Dca
Agents		4 - 3 b	D 3 - 2	432	Dcb
Rates		4 - 3 c	D 3 - 3	433	Dcc
Danger Zones		4 - 3 d	D 3 - 4	434	Dcd
Statistics		4 - 3 e	D 3 - 5	435	Dce
Burglary		4 - 4	D 4	440	Dd
Life		4 - 5	D 5	450	De
Marine		4 - 6	D 6	460	Df
Fraternal		4 - 7	D 7	470	Dg
Boiler		4 - 8	D 8	480	Dh
Plate Glass		4 - 9	D 9	490	Di
Title		4 - 10	D 10	...	Dj
Industrial		4 - 11	D 11	...	Dk
Liability		4 - 12	D 12	...	Dl
Real Estate	5	5	E	500	E
Production	6	6	F	600	F
Distribution	7	7	G	700	G
Transportation	8	8	H	800	H
Agriculture	9	9	I	900	I
Corporations	10	10	J	...	J
Money and Exchange	11	11	K	...	K

634. The following gives a partial list of records in various fields, with the forms of notation applicable to same when not filed alphabetically or geographically.

Nature of Record	Field	Form of Notation
Books	Libraries	Dewey Decimal
Correspondence	Railroads	Williams' R. R. (decimal)
"	Telephone Co's	Decimal (special)
"	Mercantile	Numeric
"	"	Alphabetic-Numeric
"	"	Duplex Numeric
"	Architects	"
"	Contractors	"
"	Lawyers	"
Catalogs	Any	"
"	"	Numeric
Drawings and Blue-Prints	"	Duplex Numeric
Information and Data	"	"
"	"	Numeric
Invoices, Purchase	"	"
" Sales	"	"
Orders, Sales	"	"
Subscription Orders	Publishers	"

CHAPTER XVI

INFORMATION AND DATA FILES

635. In Chapter X, "Subject Filing," the methods of filing were discussed and a comparison of the forms of notation was made showing the manner in which subject filing could be handled.

636. In some instances the needs of the organization demand that every bit of available information be tabulated and indexed so that it can be produced when required.

637. This means the handling of a great variety of material, including:

(a) Correspondence
(b) Periodical literature
(c) Bound literature
(d) Catalogs
(e) Clippings (newspaper and magazine)
(f) Factory reports, cost sheets, manufacturing data
(g) Market and sales reports, statistics

638. This material must be classified and provision made for its filing, as it would be impracticable to transcribe the data to a card or book index, or attempt to file material of such a varied nature in one place, granting that it pertained in its entirety to one phase of a subject.

639. The most satisfactory method of handling this material is by the use of correspondence-size folders, pockets, or envelopes in the regulation vertical filing cabinets, using a folder for each class or group, division, and subdivision established.

640. Such material as can be conveniently contained in this file is placed in a folder, the folder being filed in its

proper sequence in the files, with a cross-reference card in the front of the folder indicating where the bulkier material, such as catalogs, bound and periodical literature as well as correspondence and reports, etc., can be found.

641. In view of the fact that the information file is seldom created at the inception of an organization, but is usually a consolidation of a subject file with other material collected throughout the concern, the titles assigned to the subjects should be checked for necessary revisions and corrections.

642. To do this means the analysis of the title of each group, division, and subdivision, discarding the ambiguous titles and substituting others that will define the subject clearly.

643. "When of two words or phrases in equally good use, one is susceptible of two significations and the other of but one, preference should be given to the latter—e.g., admittance is better than admission, as the latter word also means confession."*

644. With this in mind the following rules can be formulated:

(a) In assigning concrete titles they should be so worded as to indicate in the briefest terms the subject and its scope.

(b) The title assigned must not conflict with titles previously assigned, either by similarity or duplication.

(c) When necessary to assign titles that designate neither the subject nor its scope, a written definition should be made of such titles for future reference.

(d) When subjects are known by other titles synonymous with the title assigned, they should be cross-indexed under the synonyms as well as under the title selected.

* William Dana Orcutt in Writer's Desk Book.

(e) As far as possible titles or headings should be made to include both the plural and the adjective; e.g., "Navy" would include navies and naval.

645. As soon as the groups, their divisions, and subdivisions have been decided upon, it will be necessary to determine the form of notation to be used.

646. As explained in Chapter XV, "Notation," there are limitations to some forms as to expansive and flexible features that must be considered in connection with the work to be done.

647. An accession record should then be made up, listing each group, division, and subdivision in consecutive order according to the notation adopted.

648. This can be best accomplished by means of a loose-leaf book which will permit of changes and additions being made as required.

649. This record should be maintained entirely independent of the index to the files and serves two distinct purposes:

(a) Furnishes the next unused number or other designation to be assigned to a file when additions are made.

(b) Establishes a medium of reference for individuals not familiar with the files, giving a general idea of the grouping and the method of arriving at the groups, divisions, and subdivisions.

650. Under no circumstances should the accession book or record be used as an indexing medium, as it is slower in operation and opens up possibilities of errors due to the absence of cross-indexing, record of synonyms, etc.

651. The following illustrates the make-up of an accession record applied to electric railway work, each group or class being listed and the number or other designation assigned in rotation:

1 Railways, Electric
2 Production
3 Transmission
4 Equipment
5 Repair Shops
6 Publications
7
8
9
10

652. The secondary and tertiary divisions of each group should be made up arbitrarily at the beginning or from time to time as the necessity for them arises, e.g.:

2 Production
2 - 1 Direct Current Systems
2 - 2 Alternating Current Systems
2 - 3 Power Plant
2 - 4 Boilers
2 - 4 a Water
2 - 5 Fuel
2 - 5 a Coal
2 - 5 b Oil
2 - 5 c Gas
2 - 6 Engines
2 - 6 a Turbines
2 - 6 b Gas
2 - 6 c Oil

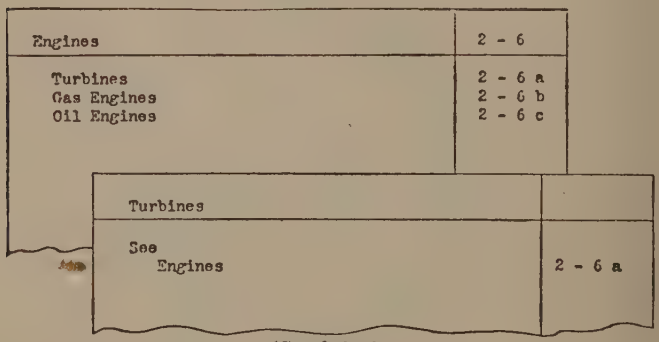
653. Index cards should be written for each title as assigned to a group, division, or subdivision, the index card for the group carrying in the lower portion of the card the divisions and subdivisions. (See first cut, page 140.)

654. The cross-index cards should be made out in the same manner, all cards being filed alphabetically according to the title heading. (See second cut, page 140.)

655. It should be noted that it is possible to save writing

Production	2
Direct Current Systems	2 - 1
Alternating Current Systems	2 - 2
Power Plant	2 - 3
Boilers	2 - 4
Water	2 - 4 a
Fuel	2 - 5
Coal	2 - 5 a
Oil	2 - 5 b
Gas	2 - 5 c
Engines	2 - 6
Turbines	2 - 6 a
Gas	2 - 6 b
Oil	2 - 6 c

(See § 653.)



(See § 654.)

Gas	
See Gas Engines Fuel	 2 - 6 b 2 - 5 c

(See § 655.)

cross-index cards individually for every item provided that the heading under which the item is to be cross-indexed is duplicated; e.g., the first card shown on page 140 has the term "Gas" under both "Engines" and "Fuel," the cross-index card being written as shown in last illustration on page 140.

Periodicals

656. By assigning a group number or designation under the heading of "Publications" (see § 651), each periodical regularly received and filed can be assigned a sub-number under the group, such number being used to designate the particular publication in cross-reference work.

657. If group number 6 is assigned to publications and the first magazine to be filed is the Engineering Magazine, the second the Electrical World, and the third the Electrical Review, the sub-numbers would be assigned to them in sequence, e.g.:

6 - 1 Engineering Magazine
6 - 2 Electrical World
6 - 3 Electrical Review

658. The next step is to make the entry of the names of the periodicals on the index card filed under the heading "Publications," which would then read:

Publications	
Engineering Magazine	6 - 1
Electrical World	6 - 2
Electrical Review	6 - 3

659. Cross-index cards should be made out covering the title of each periodical and be filed alphabetically.

Engineering Magazine	
See Publications	6 - 1

660. In the information and data files the folder numbered 6 - 1 would be empty, or else only contain a cross-reference card or sheet indicating where the files of that particular magazine are located in the office.

661. The references covering the various articles and their salient features should be handled on the basis of a digest (see § 11), each article being analyzed and memoranda of the digest filed under each heading referred to.

Subject WATER File No 2 - 4 a

For additional information on this subject see the following:—

TITLE OF BOOK OR ARTICLE	Catalog or File No	Page
Distilled Feed Water - C F Hirshfeld (1915)	6 - 1, V. 49	724
Scale Forming "hardness" temporary and permanent see "Factory Power Plants" Myers (1915)	B 40	92

662. In the first item of the above illustration the title of the article has been used, with the name of the author and year of publication, the reference reading 6 - 1, V. 49, page 724, indicating Engineering Magazine, Volume 49, page 724.

663. This cross-reference card is filed in the front of the folder numbered 2 - 4 a, additional items being entered on this card as occasion requires.

Bound Literature

664. The question of indexing books other than catalogs is taken up under the heading of "Commercial Libraries" (§§ 690-714), such index being maintained entirely independent of the index covering information and data files.

665. The digesting of the subject matter contained in the books should be handled in the same manner as in periodical literature, except that the accession number of the book should be used as the indexing medium, with the letter "B" prefixed to the number to indicate that it is a book.

666. If the accession number is used in this manner, "Factory Power Plants" by Myers, accession number 40, would be designated on the cross-reference card as B 40, the complete item reading as shown in the second entry of the illustration under § 661.

667. *Exception.* In instances where the books are classified under the Dewey Decimal, or other accepted forms of library classification, the library method of reference would be used instead of the accession numbers.

Clippings

668. Newspaper clippings of permanent value should be mounted upon manila sheets (the thickness of the paper being equivalent to the stock used for folders or heavy wrapping paper), the size corresponding to that of the standard-size letter-head, which is approximately 8 x 10 inches or 8½ x 11 inches.

669. Each clipping should be marked so as to show the publication from which it was clipped, as well as the date upon which it was published. The number of articles or clippings that can be mounted upon each sheet will naturally depend upon the sizes of the articles.

670. In mounting the clippings care should be taken to see

that all clippings mounted on a sheet relate to the same subject, so that related material can be brought together.

671. When clippings are handled in conjunction with information and data files, these clipping sheets should be filed under the subject referred to, or if they refer to more than one subject, under the most important one.

672. A clipping referring to several subjects should be digested or cross-referenced under its other subjects in addition to that under which the clipping is filed.

673. Magazine articles that do not exceed a page in length can be clipped and mounted in the same manner as newspaper clippings.

674. When a magazine article runs several pages it can be handled by inserting the pages between two clipping sheets and stapling them together at the binding side, thus making an individual pamphlet of it.

675. Indorsement should be made on the outside of the cover, indicating the title of the article, the author, name of the publication, and the date published.

676. When the articles clipped from any publication follow each other, it frequently happens that the articles overlap, one starting on the same page with the ending of the preceding one.

677. When this occurs, the last page of the first article should be copied so that each article can be filed complete. In some cases it may be easier to copy the first part of the succeeding article, but as a general rule it will be found advisable to use the printed page to start each article.

678. In addition to the file number, each clipping sheet should be numbered consecutively to permit of the clippings being readily located.

679. If the number of small clippings is considerable it

may be found advisable to number the clippings consecutively, which would afford quicker reference in looking for a specific clipping.

680. Clippings of temporary value can be filed in the folder without mounting, or if they are mounted only one clipping should be put on a sheet, using light-weight paper, preferably colored, so as to be readily distinguished from the other clipping sheets, but the size of these sheets should be the same.

681. When the clipping files are gone over from time to time, the clippings that are loose or else mounted as described above, can be examined and those that have ceased to be of value be destroyed.

682. Another method of filing clippings without mounting on sheets, is by the use of folders 5 x 8 inches, filed in card index trays or vertical file drawers of the same size.

683. When handled in this manner the folders should be arranged and filed according to the classification of the information files.

684. This necessitates the cross-referencing of all clippings according to the subjects (one or more) referred to, in the same manner as the subject matter in periodicals.

Catalogs

685. The filing of catalogs should be maintained as a separate division operated under one of the methods described in Chapter XVII, "Catalog and Pamphlet Filing."

686. Cross-referencing or digesting is accomplished in the same manner as in the case of bound or periodical literature (see §§ 665, 666) excepting that the initial "C" (or some other designation) is prefixed to indicate that the item referred to is in a catalog.

Correspondence

687. In referring to correspondence and papers filed under a numeric system it is necessary to indicate the date of the paper so as to avoid delay in reference. This date should follow the reference.

688. If the correspondence is filed alphabetically or otherwise without an identifying number, the file referred to would have to be indicated by noting the name or title of the file, followed by the date of the paper referred to.

689. Ordinarily a designating letter or symbol is not prefixed to the file numbers of correspondence unless there is another series of numbers that might cause confusion as to the location of the reference.

Commercial Libraries

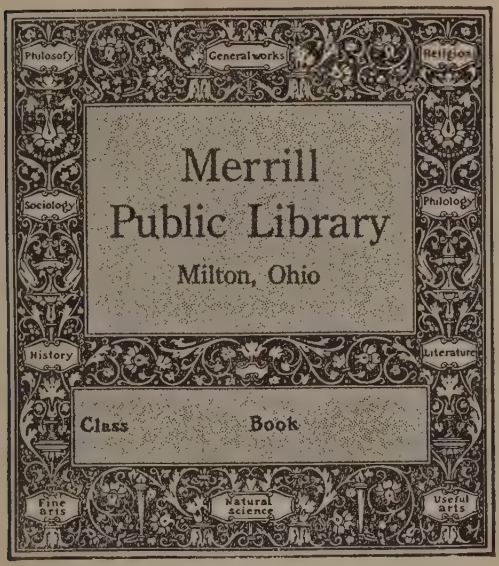
690. In the larger organizations the cataloging of books is usually assigned to an experienced librarian who is capable of developing and executing a cataloging plan from start to finish.

691. The following plan will afford the smaller establishment an opportunity to put the books in its possession into such shape that they will be accessible from the standpoint of authors, titles, and subject matter.

692. Considerable trouble will be saved if the books to be cataloged are brought together and arranged by subjects, permitting the indexer to work on one subject at a time instead of skipping about, the reading and notations progressing more quickly this way.

693. Each book should be marked for identification by the use of a book plate (a label pasted into the front cover of the book) establishing its ownership.

694. The same result can be accomplished by the use of a rubber stamp, the imprint being placed on the inside of the front cover of the book, also at the bottom of the title page.



(See § 693.)

695. A rubber stamp used for this purpose might read:

LIBRARY
E. R. HUDDERS
NEW YORK

696. ACCESSION NUMBERS. Each book should be given an accession or register number, a record being made of each book in an accession book provided for that purpose. The books should be arranged on the shelves in numerical order.

697. The best way to number the volumes is to use an automatic numbering machine, imprinting the number on the book plate and at the bottom of the title page just above the border line of the rubber stamp impression if it is used, or just below the publisher's name.

698. Books in Sets. Books that are parts of sets such as encyclopedias, transactions of societies, etc., should be given only one accession number, the volume numbers being indicated after the accession number.

699. *Exception.* Books made up in the same style of binding, each volume treating upon a different subject, should have an accession number assigned to each volume instead of being treated as part of a set, even though the publisher has designated them by successive volume numbers.

700. Accession Book. As soon as the book plates have been pasted in or the books marked with the identification stamp and the accession number, an entry should be made in the accession book which provides for the following items:

(a) Accession number
(b) Author's name
(c) Title of book
(d) Publisher of book
(e) Date (year) published
(f) Cost
(g) Remarks

701. Catalog and Index. From the accession book the index cards covering the names of the authors and the titles of the books should be made out, a separate card for both title and author being made for each book.

702. The first card is written for the author, showing the accession number and name of the author, starting the author's name to the right of the first vertical line. On the next line

172	Montgomery, Robert H.	
		Auditing, theory and practice
	1912	Ronald Press Co., N.Y.

below is entered the title of the book, indented so that it starts to the right of the second vertical line, and on the next line the year of publication and the name of the publisher as shown in the illustration.

703. The index card for the title of the book is then written, maintaining the same relative positions from the left side of the card for the author and title, e.g.:

172		Auditing, theory and practice
	Montgomery, Robert H.	
	1912	Ronald Press Co., New York,

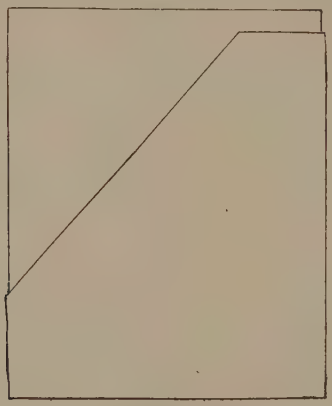
704. When the subject of the book does not coincide exactly with its title, it will be necessary to write additional index cards, unless this part of the work is cared for by means of cross-referencing in the information files.

705. This index should be maintained as a separate index, arranging the cards according to their first line in alphabetic order, thus disregarding the fact that each card represents both name and title.

706. If the library is maintained as a reference library, i.e., the books to be consulted but not to be taken out of the library, nothing further is required except that a small round label bearing the accession number be pasted on the back binding of the book.

707. When maintained as a circulating library, the books being taken out either for a fixed or an indefinite period, it becomes necessary to operate a charging system to keep track of the books and insure their return.

708. Book Pockets. In such case a book pocket should be pasted in the back cover of each book to hold the book card.



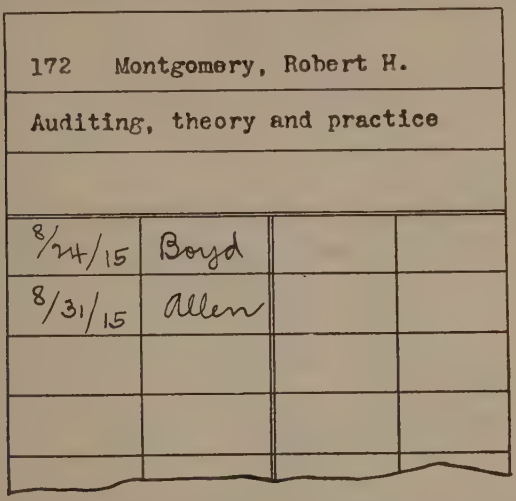
709. Book Cards. In small libraries the book card can be used as the charging card, saving the detail work of operating a borrower's card system.

710. Each book card is headed up with the accession number of the book, the name of the author, and the title of the book. When the book is loaned this card is removed from the book pocket and an entry made on it showing the date and the name of the borrower, as in the illustration on page 151.

711. The book cards belonging to books in circulation should be filed according to book accession number while the books are out, the card being replaced in the book pocket in the back of the book when it is returned to its place in the library.

712. It is seldom advisable to fix a time limit for the return

of the books as practiced in public libraries, but all books out at the end of a month should be followed up and a statement obtained from the borrower as to the probable date of return.



713. Equipment and Supplies. Exclusive of the bookcases or shelving, book supports, etc., required for the housing of the books, the following equipment is suggested:

1 automatic numbering machine
1 rubber hand stamp for title page
1 accession book
1 card index tray case for 3 x 5 inch cards
1 set of guides, celluloided, for 3 x 5 inch cards

For every 100 books or less the following are required:

300 index cards (approximately)	100 book labels
	100 book plates
100 book cards	100 book pockets

714. The list of supplies indicated above makes no provision for the cross-reference items, assuming that all cross-reference work will be handled as outlined in §§ 661 to 663.

CHAPTER XVII

CATALOG AND PAMPHLET FILING

715. Filing of this class of material can be handled under any one of three methods according to the requirements of the organization:

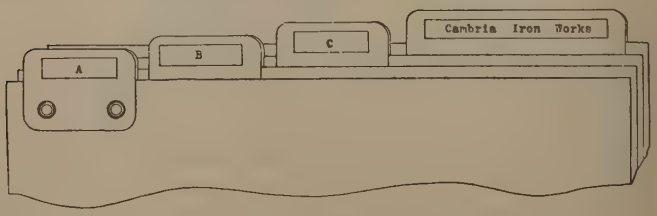
(a) Direct alphabetic, supplemented in some instances by an index (usually in card form) arranged alphabetically according to classes of material.

(b) Numeric arrangement with an index maintained in two groups, each alphabetic, one according to the names of the vendors and the other according to material or subject matter.

(c) Group numeric with an index maintained the same as in the numeric system, except that a group number is assigned to each catalog or pamphlet according to the class of material or the subject it covers.

Direct Alphabetic Method

716. When reference to catalogs or pamphlets is largely by the names of the manufacturers or dealers, this method can be employed, using a set of alphabetic guides supplemented by special name guides inserted in their proper places, covering the catalogs or pamphlets of either importance or volume enough to warrant such guides.



717. This provides no means of locating any particular item of material wanted unless the individual consulting the catalog files happens to know the name of the vendor involved.

718. This objection can be overcome by the use of an index of material, preferably cards, arranged alphabetically or otherwise according to the items of material shown in the various catalogs.

719. The card used for this purpose can be a specially printed form similar to the article card shown in § 727, or the regular correspondence index card as shown in § 739. On this card, headed with the article, subject, or class of merchandise involved, are listed the names of the vendors whose catalogs cover such material.

720. This card should refer definitely to a given catalog if there is more than one catalog of a particular vendor on file, as otherwise it would be necessary to look through the various catalogs filed until the item required was located.

721. Experience has shown that the time saved in indexing the catalogs has been more than offset in the time consumed in hunting up the catalog and finding the particular item required.

Numeric Method

722. Each vendor is assigned a number arbitrarily in consecutive order, and the first catalog received from that particular vendor is marked or labeled with that number and filed accordingly.

723. In event of more than one catalog being received from a given vendor, a letter of the alphabet is suffixed to the vendor's number in consecutive order as the catalogs are filed, e.g., the first catalog would be number 1, the next one of the same vendor would be 1 a, then 1 b, etc.

724. As soon as its number has been assigned to a catalog, an index card is made out for the name of the vendor, listing the articles or classes of merchandise covered by the catalog.

Union Nut & Bolt Co.		11
New York City		
ARTICLE	CAT. NO.	PAGE
Bolts and Nuts	11	22
Machine Screws	11 a	5

725. The card is then filed alphabetically according to the name of the vendor, this index being maintained entirely separate from the index arranged according to material.

726. Reference should be made to this index each time a catalog is received, to ascertain if the vendor has already been assigned a number, in which event the catalog is marked with that number suffixed with a letter of the alphabet.

727. Cross-index cards, one or more, should be written for the various articles or classes of merchandise covered by the catalog, such cross-indexing being carried out as minutely as may be desired.

Bolts		
MANUFACTURER	CAT. NO.	PAGE
Union Nut & Bolt Co.	11	22
National Bolt & Nut Co.	18	

728. These cross-index or article cards are then arranged according to classes of material, usually alphabetically, being filed separately from the vendors' cards.

729. The catalog is then filed according to its number, reference being made by means of either the vendors' index or the article index according to the requirements of the individual referring to the files.

730. In some cases it may be found preferable to number and file all catalogs consecutively, without assigning a vendor's number, which would eliminate the suffixing of a letter of the alphabet to the catalog number.

731. The only effect this would have on the general plan as outlined would be the discarding of the vendor's number as such and the scattering of the catalogs of a certain vendor throughout the files instead of bringing them together in one place as in the first plan.

732. The two groups of index cards are maintained in the same manner regardless of the method of numbering.

Group Numeric Method

733. This method is frequently employed by architects, engineers, contractors, and others requiring ready access to specific classes of material regardless of the manufacturer or vendor.

734. The grouping is accomplished by assembling all catalogs or pamphlets covering a certain class of material and assigning a group number, each catalog receiving a secondary or identification number under the class to which it belongs, starting with catalog number 1 under each group.

735. In the case of the architect the grouping would follow along the lines of the specification grouping, e.g.:

1 Housewrecking
2 Excavation
3 Foundation
4 Structural Steel
5 Masonry
6 Granite
7 Terra Cotta
8 Plumbing
9 Heating and Ventilating
10 Electric Wiring

736. All of the catalogs pertaining to plumbing fixtures would be assigned to group number 8, the first catalog being marked 8 - 1, the second 8 - 2, etc.

737. The correspondence-ruled index card will be found the most satisfactory form of card to use for indexing under this method, two or more cards being made out for each catalog, one for the name of the vendor and as many as may be required to index the material covered by the catalog.

738. The vendor's index card is made out in the following manner:

Standard Sanitary Manufacturing Co.	
35 West 31st Street, New York Plumbing equipment and supplies	8 - 1

739. Using the same form of card, the catalog or pamphlet would then be indexed for material, the names and numbers of the catalogs being listed as shown in the following:

PLUMBING	8
Standard Sanitary Manufacturing Co.	8 - 1
J. L. Mott Iron Works	8 - 2
Grabler Co. of N. Y.	8 - 3

740. As in the straight numeric system, the filing of these cards should be maintained in two distinct groups, both alphabetic, one according to the names of the vendors, and the other according to material.

741. The catalogs or pamphlets should then be filed in numeric order, first according to the group number and then by the individual catalog number.

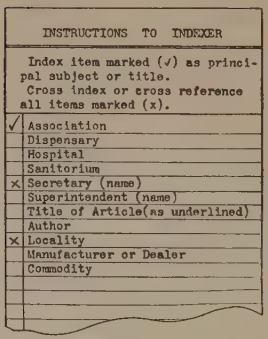
742. When indexing catalogs and more especially pamphlets, care should be taken to see that the year of issue is noted on the index card following the title of the catalog or pamphlet, or on the material index card following the name of the vendor, writing same in parentheses.

743. Annual reports, year books, and pamphlets of similar character should not be scattered through the files under different numbers.

744. If the straight numeric system is used, the organization or institution should be indexed on the same basis as the vendor in catalog filing, each report or year book being assigned a sub-number, bringing all of the pamphlets relating to that organization or institution together.

American Association of Public Accountants	127
Year Book (1912)	127 - 1
(1913)	127 - 2
(1914)	127 - 3

745. In handling pamphlets of a technical character where the indexer is not familiar with the subject matter, the designation of the items to be indexed can be accomplished in many instances by means of an instruction slip attached to the cover of the pamphlet.



INSTRUCTIONS TO INDEXER	
Index item marked (✓) as principal subject or title. Cross index or cross reference all items marked (x).	
✓	Association
	Dispensary
	Hospital
	Sanitorium
×	Secretary (name)
	Superintendent (name)
	Title of Article(as underlined)
	Author
×	Locality
	Manufacturer or Dealer
	Commodity

746. The instruction slip as marked in this illustration indicates that the pamphlet is to be filed under the name of the association that it covers, and that it is to be cross-indexed for the name of the secretary of the association and the locality in which it is operating.

747. When the bulk of the material to be filed is made up of reports, year books, etc., and not catalogs, it will be found advisable to merge titles, names, and subjects together in one index instead of maintaining one index for the names and another for the subjects as recommended in connection with catalog filing.

Filing Equipment

748. The most satisfactory file for general work is the legal or cap size vertical file, each drawer taking material up to and including 10 x 15 inches.

749. By having a metal partition inserted in the drawers, running from front to back, two compartments can be obtained 7½ inches wide by 10 inches high, leaving one drawer out of every four without the partition to provide for material larger than 7 x 10 inches.

750. The majority of association and institutional reports in pamphlet form are approximately 6 x 9 inches and can be filed to best advantage as indicated in the preceding paragraph.

751. Catalogs frequently lack the uniformity of size found in reports, etc.; consequently it may be found advisable to use the legal-width drawer without putting in the partition.

752. Owing to the weight of this class of material and the fact that folders are omitted in most cases, more guides are required than in correspondence filing in order to keep the heavy material in shape, as well as to protect the equally important single-sheet illustrations and circulars.

Shelving for Catalogs

753. Advocates of shelving for the housing of catalogs, pamphlets, etc., claim that a saving in space is possible by grouping the catalogs according to size and then building or adjusting the shelving to conform to such requirements.

754. If the material is arranged numerically it means that the catalog number must be prefixed with a letter or character to indicate the shelf on which it may be found, or else the section and number of the shelf must be indicated in addition to the number assigned to the book.

755. The arrangement on shelves means the scattering of material that experience has shown should be brought together, as evidenced by use of the group numeric system by architects and others.

756. When shelving is used for this purpose it will be found unsatisfactory unless enclosed, as material of this character on open shelving will be one of the dust collectors of the office.

757. Comparison of the vertical file with the shelving proposition will, in most cases, favor the former as the best means of housing this material.

Standardizing Catalog Sizes

758. In architectural circles the question of standardizing

the size of catalogs to $8\frac{1}{2} \times 11$ inches has been agitated at different times, with the view of refusing to place in their files anything not conforming to this size.

759. Should a ruling of this nature be accepted as standard, the regular correspondence-size file could be used instead of the legal-size, or if shelving is preferred, the question of adjusting the shelving for various sizes would be eliminated.

CHAPTER XVIII

PURCHASE RECORDS

760. In small organizations the purchase records are frequently treated as a part of the regular filing, quotations received usually being recorded in a note-book or left to memory.

761. In the larger concerns this phase of the business is handled by a purchasing agent or department, necessitating the maintenance and filing of such records as are essential to its operation.

762. These records will usually consist of catalogs, price lists, quotation records, purchase requisitions, purchase orders, receiving records, purchase invoices (usually in duplicate), and samples.

763. Catalog and pamphlet filing has been considered in Chapter XVII, and therefore needs no further reference beyond the statement that it must be considered in connection with the filing of purchase records.

764. Quotation Records. These records can be maintained to best advantage in card form, the size and form of the card varying according to the needs of the business. They should be filed alphabetically according to the material.

Article				No. or Size		File No.		
Lamps, Incandescent				16 c.p. 110v.		437		
Date 1914	Firm's Name	Quantity	Unit	Price	Dis.	Terms	F. O. B	Remarks
10/14	General Electric Co	any	ea.	16¢	—	½% 10	N.Y.	see contract

L. B. Cat. No. 30-5001

765. In some concerns the articles handled have been more or less standardized with definite catalog numbers assigned to them, and in such cases it may be found advisable to file the quotation cards according to catalog number instead of by the name of the article.

766. The original quotations from which these card records have been developed should be filed according to the name or file number of the vendor, so that they are available for reference if required.

767. Purchase Requisitions. These ordinarily carry a serial number, sometimes prefixed with a letter of the alphabet for the purpose of identifying the department from which they originated.

Req No.	Deliver to	Date
Quantity	Description	
Order from		Purchase Order No.
For	Acct. No.	Wanted by what date
Required by	Approved	

REQUISITION FOR PURCHASES Library Bureau L0630 CAT. NO. 50-8032

768. As soon as the order to the vendor has been issued, the requisition should be marked with the purchase order number and then filed numerically. If the requisitions are numbered serially to identify departments, the filing of these forms should coincide.

769. Purchase Orders. Manifold copies of purchase or-

ders are usually made, the number of copies depending upon the requirements of the concern. If made in triplicate, provision would be made for the original to go to the vendor, the duplicate remaining in the purchasing department, and the triplicate sent either to the receiving clerk or to the accounting department.

770. The most satisfactory sizes of these orders are either 5 x 8 inches, or 8 x 10 inches, the latter size, when used, being folded to 5 x 8 inches and filed, without the use of folders, in card index trays, behind guides, just as 5 x 8 inch cards would be filed.

THE CENTURY CO.
UNION SQUARE

New York.

MARK INVOICES WITH
Order No. 172
Req'n No.

To

Please deliver to us

Charge to our account

THE CENTURY CO.

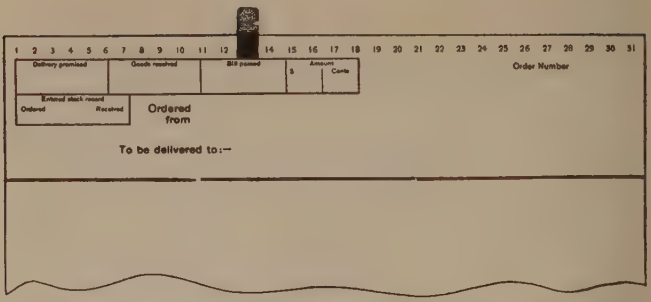
For_____Dep't

By

SEND ALL INVOICES TO THIS ADDRESS

771. By using a heavier and better grade of paper for the copy of the purchase order retained as the purchasing department file copy, with the numbers 1 to 31 inclusive printed along its top edge, signals can be used for the purpose of indicating that the material should be delivered, or that the order requires attention on a certain date. (See cut, page 164.)

772. These copies of the purchase orders should be filed in the purchasing department in alphabetic order, one guide for each letter of the alphabet usually being sufficient.


1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31
Delivery promised
Goods received
Bill passed
$
Amount
Cents
Order Number
Entered stock record
Ordered
Received
Ordered from
To be delivered to:—

773. All orders should be numbered at the time they are printed. Cancelled and spoiled orders should not be destroyed but should be marked cancelled and then be filed, the cancelled orders in a completed order file according to the name of the vendor in whose favor they were originally made out; spoiled orders behind a guide marked "Cancelled" at the back of the completed order file.

774. As invoices are received the orders are removed from the open order file, and if they check up as being completed, they are re-filed in the same arrangement in another section of files as closed orders.

775. Orders checking up as being only partially completed are returned to the open order files and kept there until such time as they are completed or the balance of the order cancelled.

776. This permits of the maintenance of the open order files at minimum proportions, as the removal of completed orders daily leaves nothing but live material to be handled.

777. Correspondence. The filing of this class of papers will depend upon existing conditions in the organization in relation to the filing question. If there is a central filing department maintained so that material can be obtained promptly, it will be found satisfactory to allow all papers relating to purchasing department matters to be filed there.

778. Where the analysis of conditions shows that better service can be obtained by the retention of the records in the purchasing department, they can be filed under either an alphabetic, alphabetic-numeric, or a regular numeric system.

779. SAMPLES. Samples retained in the purchasing department are usually those submitted by vendors with quotations, or those received from departments in connection with requisitions or complaints as to unsatisfactory material furnished.

780. Such samples should be properly labeled or tagged for identification, and stored either on shelving or in bins according to the nature of the samples.

781. The label or tag used for identifying samples should be so printed as to provide for the recording of the name of the article, order number, department, name of vendor, or, if no order was issued, date of quotation.

CHAPTER XIX

SALES RECORDS

782. The compilation of statistics required by the sales manager can be accomplished by the maintenance of sales department records tabulating the items required from the orders, salesmen's reports, and correspondence received.

783. If the record of sales is compiled on the basis of the amount of sales in dollars and cents, it is possible to obtain these figures from the sales ledgers periodically.

784. In a great many instances charges do not reach the ledger until some time after the order is received, particularly when the merchandise is sold under contract with partial deliveries stipulated, or made to order, and consequently records built from the ledger would seldom, if ever, be up to date.

785. In practically every organization sales records are operated from the following standpoints:

(a) Sales made to each customer, classified according to commodity, the unit used in recording being either one of value or quantity, whichever meets the needs of the business best.

(b) Recapitulation of sales for a given period, showing the amount sold each customer, this being classified according to commodity.

(c) Recapitulation of sales for a given period, showing the total sales in territories made by each salesman, these sales being classified according to commodity.

(d) Recapitulation of sales showing total of each commodity sold in the corresponding period.

(e) Record of lost orders and reason for their loss.

786. Most of the preliminary classification can be provided for when designing the forms to be used, and in the filing of these forms, this permitting of analysis being made from any standpoint desired.

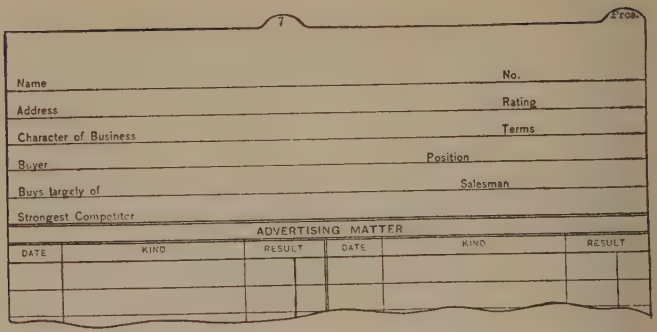
787. Sales Orders. These are received in one of three ways: by mail on the official order blank or letter-head of the customer, from a traveling salesman on a sales order blank furnished for that purpose, or through a visit of the customer to the salesrooms of the organization, in which event the same form of sales order blank would be used as is supplied to the salesmen.

788. After the order has been copied on e official order blanks, which are numbered consecutively, the original order is marked with the order number for the purpose of identification and then filed, either with the correspondence or, if the orders run into volume, in a separate folder immediately behind the folder containing the correspondence.

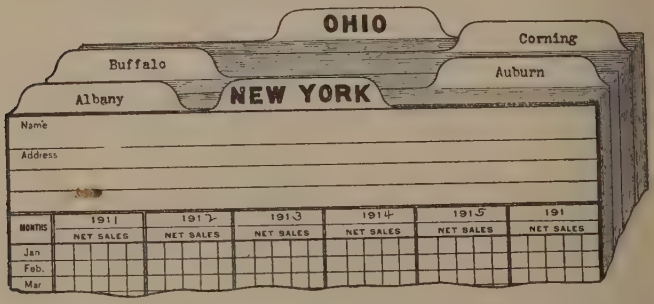
789. Whenever the filing is maintained under one arrangement with one folder for the correspondence and another filed immediately behind it for the orders, the one containing the orders should be of a different color or else bear some designating mark.

790. A record of the sale is made on a customer's or sales-record card, the items being taken from the sales department copy of the official order, those recorded varying according to the requirements of the business.

791. Customers' List. Using a card ruled and printed so as to permit of the entry of the necessary items, a card or series of cards is made out for each customer, actual or prospective, the information being obtained from copies of sales orders, salesmen's reports, etc.



792. With the allotment of a definite territory to a salesman or agent, the sales records of customers in a given territory are usually filed geographically, the divisions made depending to a large degree upon the extent of the territory.



793. When figures covering the sales of a given territory are required, they are obtained by adding the totals of sales shown on each of the individual customer's cards within the group.

794. By ruling and printing the guide cards used for the purpose of indicating states and towns or other territorial units, the tabulations of figures covering such territorial divisions can be summarized on these guides.

ROCHESTER

YEAR	POPULATION	Number of Dealers	Number we sell	Territory controlled by	Strongest competitor

Year	TOTAL	A	B	C	D	E	F	G	H	Misc.

NEW YORK

YEAR	POPULATION	Number of Dealers	Number we sell	Territory controlled by	Strongest competitor

Year	TOTAL	A	B	C	D	E	F	G	H	Misc.

795. Record of Salesmen. The sales orders entered each day may be assorted according to salesmen. The total amount of sales to the credit of each salesman obtained for each day and added to total recorded for the preceding days of the month, establishes a cumulative total from the first of each month to the current date.

RECAPITULATION OF SALES August 21-1915

SALES-MAN	AMOUNT OF SALES BY TERRITORIES 1	2	3	4	CREDITS RETURNS	NET SALES	TOTAL TO DATE	ORDERS
1	75		120		10	185	1564	42
2	45	60				105	1845	49
3	107			56	5	153	1417	38
4				15		15	1608	34

796. These sheets or cards are filed according to days, behind month guides, making it possible to recapitulate either quarterly, semiannually, or annually as may be desired.

797. Another recapitulation by class of commodity enables the sales and the production or purchasing departments to co-operate as to the classes and quantities of material required, the estimates being based upon the sales classed as to commodity and seasons.

RECAPITULATION COVERING SALES OF Machine Screws FOR YEAR 1915

Day	JANUARY	FEBRUARY	MARCH	APRIL	MAY	JUNE
1						
2						
3						
4						
5						
6						
29						
30						
31						
Total						

798. These cards are filed according to commodity, entries being made each day recording the total sales of that particular commodity. The cards are prepared so as to provide for one year's record being maintained on a single card, six months on each side.

799. Unless such information is maintained in an information and data file covering the requirements of the entire organization, it is essential that the sales manager provide for a file (usually correspondence-size, arranged on the basis of an alphabetic subject file) to contain reports on market conditions, transportation matters, advertising matter (including form and circular letters, booklets, etc.), and territories to be developed.

800. A file of this character enables the sales manager to compile information that can be used as the basis of determining the practicability of a campaign in a given territory, the conditions existing as to products to be sold, and the methods to be used in selling.

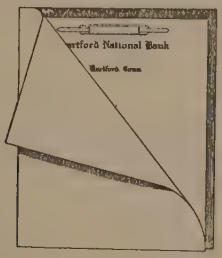
CHAPTER XX

CREDIT RECORDS

801. The credit manager whose record at the end of a fiscal year shows a very small percentage of losses and claims in attorneys' hands for collection is almost invariably the one who maintains detailed records affording information regarding the standing of customers.

802. This necessitates the maintenance of an individual folder for each customer, containing mercantile reports, letters of reference, statements of assets and liabilities, salesmen's reports as to credit, stock carried, and memoranda of fires, actions and judgments.

803. The use of a binder or fastener folder for the filing of these papers insures the arrangement of the papers in the order of their receipt (with the latest paper at the top), the fastener precluding the accidental loss of papers.



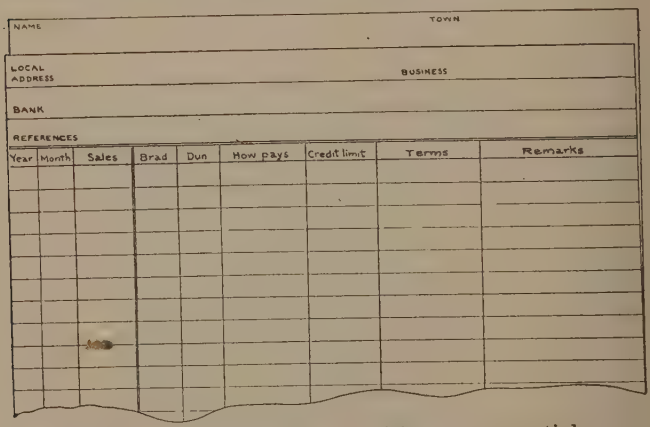
804. In instances where the credit department depends upon reports from mercantile agencies to a large extent, the credit or bill-size folder will usually prove satisfactory.

805. When the mercantile reports are supplemented by letters of reference and records of direct investigations, the correspondence-size folder will give better results, owing to the fact that most of the papers (other than mercantile reports)

are usually on the regular letter-head paper which would have to be folded if the papers are filed in the credit or bill-size folder.

806. No miscellaneous folders should be used in the credit files, as it is essential that the material pertaining to a given customer be kept intact for ready reference.

807. When the files are maintained under an alphabetic arrangement, affording direct reference to the material (see Chapter VI, "Direct Alphabetic Filing"), a form may be printed on the outside of the folder allowing for a condensed record of the information contained in the folder.


NAME TOWN

LOCAL ADDRESS BUSINESS

BANK

REFERENCES

Year	Month	Sales	Brad	Dun	How pays	Credit limit	Terms	Remarks

808. If quick references and decisions are essential, a condensed credit record in card form will be found more satisfactory than the use of the form printed on the front of the folder containing the credit information. (See page 173.)

809. The credit files can be maintained satisfactorily under a numeric arrangement in organizations filing their general correspondence in this manner.

810. The index to these files is maintained by recording the file number on the credit card shown on page 173, which would

Name						Check ○ to stop credit	File Number
City			State				Class
Year	Sales		Rating Dun	Rating Brad.	Ledger	Pays	Terms
1913							Limit
1914							Salesman
1915							Reference
1916							
1917							Remarks
1918							
1919							
1920							

Library Bureau CAT. NO. 30-5661

be filed alphabetically and serve as the index to general correspondence as well.

811. Geographic Filing. Due to the concentration of sales effort in a given locality, or to the fact that in some instances a more comprehensive view of general conditions can be thereby obtained, some credit managers prefer the geographic arrangement.

812. The arrangement of credit files maintained on this basis would be the same as that of correspondence filed as described in Chapter IX, "Geographic Filing."

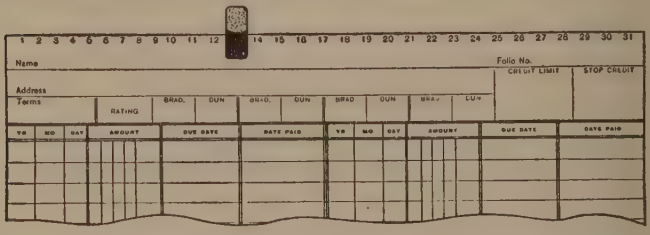
813. The state and town guides are sometimes ruled and printed; the state guides allowing for notations as to state laws; the town guides allowing for records of attorneys to whom collection matters can be referred, etc.

814. Collections. Sometimes the credit man occupies a dual position, handling the collections as well as the credits, and in such instances the two records are frequently combined.

815. If the collection work is heavy it can be handled better as a separate record. In such cases the objection to the combined record is found in the necessity of rewriting the

credit information items whenever the space allotted to the collection record is filled up.

816. When the collection record is handled in card form, the cards are printed with the days of the month along the top edge, and the follow-up work is taken care of by the use of signals along the top of the card as described in §§ 79 to 82.



817. Collection cards such as shown above would only be filed for delinquents, or for customers who are given special discounts for payment of accounts within a specified time.

818. These cards are made out from a list of such accounts furnished by the accounting department, or else from the statements, those showing unpaid balances prior to a certain date being recorded and followed up.

819. Record of payments received can be obtained by going over the cash book each day and noting the amounts received, or by a report from the bookkeeper itemizing the payments of the day, or by having the checks received pass through the collection department.

820. The method of handling this part of the work will differ in different organizations, depending upon the functions assigned to the various departments.

821. Owing to the confidential nature of material contained in the credit files, it is seldom feasible to consolidate credit information with general correspondence or other material. It is generally conceded that the credit files should be under lock and key.

CHAPTER XXI

FILING OF SALES INVOICES

822. Originally, sales invoices were made out in longhand, transcribed into a day or sales book, and posted from there into the ledger.

823. When reference to any invoice was necessary it could only be accomplished by referring to the ledger account of the customer, obtaining a list of the various folios of the day book from the ledger page, and then referring to the day book.

824. Duplicate Billing. With the increased use of carbon paper as a duplicating medium, the sales book was made up with printed bill-heads inserted alternately in a bound book with a plain sheet of paper, the bill-head being perforated so that it could be torn out after it was written, while the carbon copy remained in the book and was used as the charging medium.

825. Succeeding this, the loose-leaf binder came into use, the sheets containing one or more invoices according to the length of the individual charge.

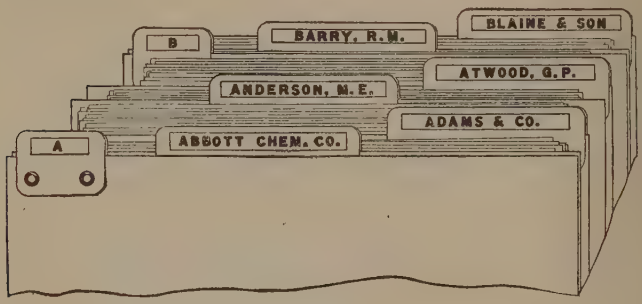
826. With all of these, however, the same difficulty arose—the arrangement of the charges in chronological order meant the establishment of an index to the folios or else reference to the ledger.

827. In many instances this objection is obviated by taking an additional carbon copy of each invoice and filing the invoices of each individual customer together, either by name or account number, behind guides, usually without the use of folders.

828. This eliminates interrupting the bookkeeper for folios,

as the reference copies can be obtained without delay from the file rooms.

829. Alphabetic Filing. When sales invoices are filed alphabetically, they should be filed behind name guides, one for each customer, without the use of folders.



830. Whenever the ledgers and correspondence files are maintained under any of the direct reference systems—alphabetic, alphabetic-numeric, or geographic arrangement—the filing of the sales invoices should be operated in the same manner, the index being eliminated.

831. Numeric Filing. When sales invoices are filed under a numeric system, either the correspondence or account number (if any) should be used.

832. With the correspondence files arranged numerically, the sales invoices can be filed under the same number as assigned to the customer's correspondence, maintaining a distinct set of files for the sales invoices but using the same index for both files.

833. If the sales ledgers are maintained on a numeric basis, with an account number assigned to each customer, it will be found better to file by the account number in preference to the correspondence number.

834. When operated in this manner the correspondence index should carry the account number on each index card just below the regular correspondence number, using the letter "A" prefixed to the number to indicate its nature.

835. The accounting department copies of the sales invoices, kept either in loose-leaf binders or filed loose in card index or vertical file drawers (according to the size of the invoice), are arranged in chronological order without regard to the name of the customer. This set of invoices, constituting the posting medium, should be retained intact for the department's records and for auditing purposes.

836. All references to the invoices, even in the accounting department, should be made by obtaining the file or reference copies from the file room, except in connection with items that relate to accounting questions, such as checking of totals, trial balances, or similar work.

CHAPTER XXII

FILING OF PURCHASE INVOICES

837. The method of handling purchase invoices will depend almost entirely upon the manner in which the accounting department is operated.

838. PURCHASE LEDGER. When invoices are entered in a journal and from there posted to a purchase or accounts payable ledger, these invoices are filed in an unpaid bill file, alphabetically arranged, as soon as the journal entry has been made.

839. Unless the volume of unpaid invoices is very heavy, they will only need to be separated by a 25-division set of guides without folders.

840. When an invoice is paid it should be removed from the unpaid file and re-filed as a paid invoice under the particular method of filing that may be adopted.

841. ALPHABETIC FILING. This method can be used for the filing of paid invoices with the use of individual and miscellaneous folders in the same manner as for correspondence. (See Chapter VI, "Direct Alphabetic Filing.")

842. In establishments where the purchase invoices do not run into volume, these papers can be filed in the regular correspondence files, using a colored folder for the invoices (paid) of each vendor, and filing this folder directly behind the correspondence folder of the same name.

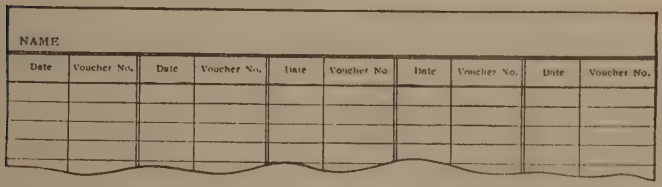
843. If the correspondence of a certain vendor was required, only the manila folder would be removed; if invoices, only the colored folder would be taken, thus keeping all papers pertaining to a vendor in one location in the file, but separated, as described above, so that either class of papers can be obtained as desired.

844. Even if the invoices are filed separately from the correspondence, it is advisable to use a colored folder, thereby preventing the filing of invoice folders in the correspondence files, or the correspondence folders in the invoice files, without the misfiling being noticed.

845. Voucher System. When purchase invoices are handled under this system, vouchers consecutively numbered should be made out for each set of invoices to be paid, the invoices being attached to and filed with the voucher after it has been receipted.

846. These vouchers should be filed in numeric order, this necessitating the maintenance of an index to locate the invoices of any particular vendor, as these invoices when filed by voucher numbers are scattered throughout the files.

847. The index to these vouchers can be made up on any of the standard-size cards (preferably 5 x 8 inches), ruled as shown in the following illustration, these index cards being filed alphabetically according to the name of the vendor.



848. Invoice Register System. With the adoption of the voucher check, dispensing with the receipting of invoices or vouchers, the invoice register system came into use to a great extent.

849. Each invoice, either as it is received or approved, is assigned a number in consecutive order, and an entry is made in an invoice register recording the invoice number, the name of the vendor, date of the invoice, and the amount, this latter

being distributed by means of amount columns to the various classes of accounts to be charged.

850. The register serves two purposes: first, as a check on the invoices to see that they are properly accounted for; second, to establish the total amount of the invoices of each month, which represents the credit to be made to the accounts payable (control) account at the end of each month.

851. The invoices are filed by the register number, the index being maintained in the same form as in the operation of the voucher system, no ledger for the individual vendors' accounts being maintained under either the voucher or invoice register systems.

CHAPTER XXIII

CHECK AND VOUCHER FILING

852. When the regulation check book is used in the commercial office with either a stub record or a carbon copy of the check as it is issued in numerical and chronological order, the returned vouchers after being reconciled with the check and pass-books are filed in numeric sequence until such time as the auditor has passed them.

853. These checks can be left in the numeric arrangement, or can be reassorted into alphabetic order according to the names of the vendors, affording immediate access to the checks drawn in favor of a particular vendor. The latter method has some advantages when there is no accounts payable or purchase ledger.

854. When the voucher system of invoice filing is used, the cancelled bank check is sometimes attached to the accounts payable voucher and invoices that the check covers, thereby completing the entire record from the authorization of the invoice for payment to its settlement.

Check Filing in Banks

855. While the filing of checks in a commercial office is a matter of a semipermanent record, the filing of this class of material in the bank is a transient one, but these checks are of greater importance than a great many other papers that are filed, as they represent the official authorization of the depositor to the bank to disburse a stated amount of money for his account.

856. Consequently the bank must be in a position to deliver to any depositor upon demand all checks or vouchers representing the payments made for the account of such depositor.

857. There are two methods of handling these vouchers:

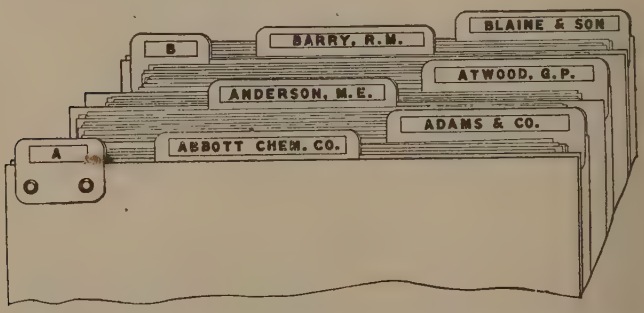
(a) Pass-book method

(b) Statement method

858. Pass-book Method. Under this plan which has been in use for many years, the bank retains the paid vouchers filed according to the name of the depositor, until such time as the depositor delivers his pass-book to the bank to be balanced.

859. The files containing these paid checks or vouchers should be arranged alphabetically, using a name guide for each depositor and a division guide for each division or subdivision of the alphabet required, according to the size of the files.

860. Metal-tipped guides with the fifth-cut tip for alphabetic divisions in the first position, and the name guides alternated in the second and third positions of a third cut, will give satisfactory service, allowing for the changing of the names in the metal-tipped projections.



861. A similar arrangement uses celluloided guides which will give equally satisfactory results, allowing for expansion or contraction at any point as may be required, by the addition or removal of printed guides. (See §§ 220 to 224.)

862. When a pass-book is returned to the bank to be balanced, all of the vouchers on file at the date of balancing that

have been charged to the depositor on the bank's records are removed from the file, listed, and the total of the vouchers recorded in the pass-book.

863. These vouchers together with the depositor's pass-book are then filed in another section of the files arranged in the same manner, and held there until called for by the depositor.

864. All checks or vouchers received subsequent to the balancing of the pass-book are filed, as soon as charged, in the regular check file until the next time the pass-book is balanced.

865. Statement Method. Owing to the increased use of the newer types of adding machines, making it possible to make up the depositor's statement at the time of listing the checks, many banks and trust companies have adopted the duplicate monthly statement method, returning all paid vouchers with the original of the statement to each depositor at the end of each month.

866. During the month these statements are filed alphabetically by the names of the depositors, the paid vouchers being filed in the same manner as in the pass-book method.

867. At the end of each month the vouchers are removed and checked to see that there is a voucher for each item listed on the statement. The original of the statement and the vouchers are then returned to the depositor, the duplicate copy of the statement being retained in the files of the bank.

868. Ordinarily the pass-books are not filed when the statement method is used, as they are only balanced at such times as they are presented with a request from the depositor that the book be written up.

CHAPTER XXIV

FILING OF ELECTROTYPES AND CUTS

869. The method of filing half tones, zincs, plates, electrotypes, and line cuts, is governed largely by the class of illustration, the nature of the organization, the reference necessary, and the standpoint of such reference.

870. Cuts may be classified according to their use as follows:

(a) Illustrations used in connection with the text of material published in newspapers, magazines, and books.

(b) Illustrations used in printing of catalogs, booklets, and other advertising matter distributed direct or through the mail.

(c) Forms (type, or type and illustrations) plated because of the quantity run or the possibility of additional runs being required.

871. The organizations ordinarily handling cuts to a considerable extent may be grouped as follows:

(a) Publishers—newspaper, magazine, and book
(b) Advertising agencies
(c) Printing plants
(d) Catalog or mail order houses

872. Inasmuch as the question of filing of electrotypes and cuts in the publishing field depends materially upon the individual conditions existing in each organization, it is deemed impracticable to set forth any definite rules to be followed in this connection.

873. Numbering of Cuts. Whenever cuts are mounted on wood blocks, they should be numbered or marked by means of

steel punches, which can be obtained in sets one punch for each digit and naught, also letters of the alphabet, if required, which will permit of any combination of letters and numbers being made.

874. The letters should be indented in the side or end of the wood block, not on the back, as the inlays or mats used under the cut to surface it are frequently glued to the wood blocks, thus covering any marks that might be made on the back of the block.

875. Unmounted cuts can be identified by attaching a small tag bearing the number or other designation, using wire instead of string to attach it and putting the wire through the tack holes originally used for mounting the cut.

876. This tag must be detached each time such cuts are used, the cuts being retagged when the form is broken up and the cuts returned.

Printing Plants

877. Electrotypes and cuts retained in a plant of this description are either the property of the printer, having been made up at his own expense because of a large run on the presses or in anticipation of repeat orders for the same job, or else belong to the customer who has furnished the cuts for the execution of a certain piece of work.

878. The majority of printers handle their work under a production or job order number, which would be used as the identifying number for the cut. In some instances the order or form number is incorporated as a part of the set-up, usually at the top or bottom of the form.

879. When there is more than one cut used on a given job, it is customary to suffix in rotation a letter of the alphabet or a secondary number to the order number, the first cut carrying only the order number, the second cut the suffix "A." For instance, if the order number was 854, the numbering would be:

First cut, 854
Second cut, 854 A, or 854 - 1
Third cut, 854 B, or 854 - 2
Fourth cut, 854 C, or 854 - 3

880. *Exception No. 1.* Cuts used in the production of a book or pamphlet with numbered pages would be identified by the order numbers and the page numbers.

881. Plates covering page matter where a section or paragraph number is used in place of the page number, would be identified by first and last numbers (section or paragraph) appearing on each page.

882. *Exception No. 2.* In instances where the same illustration is used in different-sized cuts, the suffixed letter or number is sometimes used to designate the various sizes.

883. Cuts Belonging to Customers. With few exceptions the average printer does not care to retain possession of cuts that are the property of his customers, as it necessitates the reservation of space and equipment for the storage of such cuts, for which he obtains no remuneration.

884. When such cuts are retained it is usually because of constant runs being made, requiring that the cuts be available at all times, or that the customer desires the printer to keep them, or else that the printer believes it to be to his own advantage to keep them.

885. As the printer's interest in these cuts ends with the return of the cut to the customer, or its destruction in accordance with orders from the customer to that effect, there is no need of elaborate records being kept.

886. Proof Files. By taking a proof of each cut the printer has in his possession, marking the proof with the number or other designation assigned to the cut, these proofs can be filed, first according to the name of the customer, then numerically or otherwise according to the nature of the reference to them.

887. When a cut is ordered to be returned or destroyed, the proof should be removed from the file and attached to the order or memorandum calling for the return or destruction of the cut, which is then filed with the customer's correspondence.

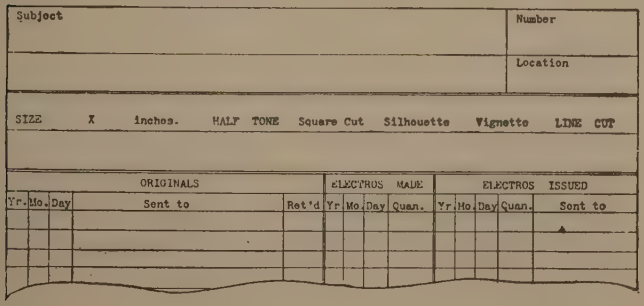
Catalog or Mail Order Houses

888. In organizations of this character it is customary to designate all, or the greater portion of tne merchandise handled, by catalog numbers, the descriptive matter to a large extent being supplemented by illustrations.

889. Many of these catalogs are issued at stated intervals, requiring that the subject matter be checked up before each issue goes to press, that obsolete material be eliminated and new material inserted. This requires that a record be kept of originals, electros, and their location.

890. This record can be maintained to the best advantage in card index form, a card for each illustration, the arrangement of the card providing for a record of the original, by whom it was made, style of the cut, its number, electros made, and their location.

891. The detail to be recorded will vary in different organizations. The illustration shown is suggestive only and may require changes to adapt it to individual requirements.



Subject	Number
	Location

SIZE X inches. HALF TONE Square Cut Silhouette Vignette LINE CUT

ORIGINALS					ELECTROS MADE				ELECTROS ISSUED				
Yr.	Mo.	Day	Sent to	Ret'd	Yr	Mo.	Day	Quan.	Yr.	Mo.	Day	Quan.	Sent to

892. If catalog numbers are assigned to the merchandise illustrated, the same numbers should be used to identify the cuts, the card index to the cuts being maintained in numeric order.

893. Proof files are seldom necessary in this class of work except as to new illustrations that have never been used in the catalog. Proofs of these are kept on file until the new edition of the catalog is out.

894. The plan outlined for mail order houses can be used to advantage in other mercantile fields where cuts are handled to any extent and a record is required.

895. Organizations connected with church, social service, public health, and other welfare work, frequently handle cuts, electros, etc., in connection with the literature they issue or material they furnish to local societies or publications for use in special campaigns.

896. In some instances the requirements of the organization demand that they be accessible from the standpoint of locality; in others the subject would be the factor.

897. Each cut should be numbered as provided for in §§ 873 to 876, the cuts being filed either in shallow drawers or on shelves as may be desired.

898. Proof Files. A proof should be taken of each cut, which is marked with the number assigned to the cut. These proofs are then classified and filed, either loose or mounted on manila sheets (the same as clippings).

899. The arrangement of the proof files can be made either subject, alphabetical, or geographical, according to the individual requirements.

900. When the majority of the illustrations are small-sized, it is possible to maintain an index to the cuts in card form, mounting the proof or other reproduction of the cut on the back of the card, the card carrying as much or as little data as to the original of the cut, etc., as considered necessary.

CHAPTER XXV

FILING EQUIPMENT

Filing Cabinets

901. The filing cabinets on the market at the present time are of three distinct types:

(a) Solid cases permitting of no expansion, varying from one drawer to sixty or more.

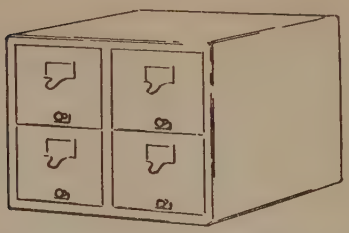
(b) Horizontal sections, each a distinct unit, additions being made by placing another unit above or below the original unit, the top and base being removable, thus allowing for both expansion and rearrangement.

(c) Vertical units allowing for addition of one or more units laterally, the various units being of uniform height and depth.

902. A stack of horizontal or a range of vertical units is not necessarily made up of multiples of any one unit, it being possible to consolidate legal, correspondence, invoice, and card index files with storage cupboards or drawers of various types in the same stack.

903. Solid Cases. Disregarding the nature of the material filed—correspondence, invoices, index cards, etc.—cases of this type should only be used in instances where it can be predetermined how much, if any, expansion must be allowed for, such provision being made at the time of installing the equipment.

904. This type of case should never be used for customers' indexes, sales records, mailing lists, or other records of similar character of cumulative nature.



905. Horizontal Units. Filing equipment of this type of construction can be obtained in a variety of sizes and combinations, allowing for the housing of card indexes, checks, invoices, correspondence, legal papers, or other material, in the same stack.

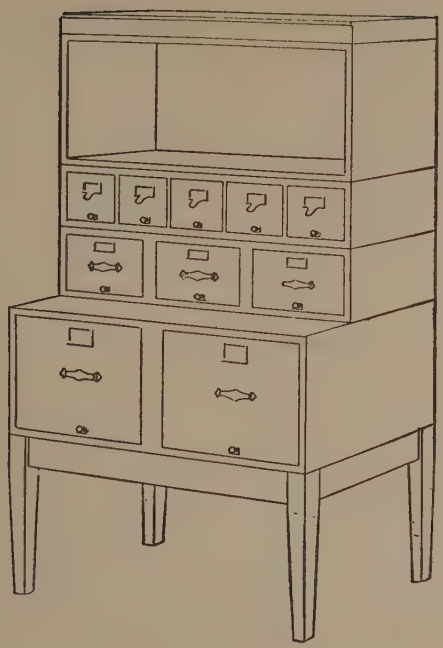
906. In many of the smaller establishments combination horizontal stacks can be used advantageously, because of the limited amount of any one class of material to be filed, all of the records involved being handled by one or two individuals.

907. Small combination stacks can be satisfactorily used by executives, to contain records constantly referred to in connection with their work.

908. For the housing of cards on which changes and additions are constantly being made, such as sales, quotations, and similar records, the horizontal unit with the removable drawer or tray not exceeding 15 or 16 inches in depth will be found the most serviceable.

909. Card index trays exceeding 16 inches in depth are usually made up with two or more rows of cards to the drawer or tray, the trays necessarily being of heavier construction, requiring extension slides to sustain the weight of the drawer and its contents.

910. Such trays present difficulties in handling, due to their weight and the amount of table space they require when removed from the cabinets to be used, which render them unsatisfactory in many cases.



911. Vertical Units. These can be obtained in practically the same variety of sizes and combinations as the horizontal units, the vertical units containing a greater number of drawers per section than the horizontal.

912. Regardless of the nature or size of the records filed, all vertical units of a given make are of uniform height and depth, usually 50 to 53 inches high and 25 to 27 inches deep.

913. Correspondence and legal size vertical files are regularly built four drawers to the unit, one above the other, each drawer having a capacity of approximately 5,000 sheets of paper per drawer (24 inches deep inside), allowing for guides and folders.

914. While some correspondence and legal size files are made five drawers high, they are not satisfactory as the top drawer is too high for an average operator to work with comfort without standing upon a stool, which means lost time.

915. Card index sizes of vertical units vary as to the number of drawers per unit according to the size of the card to be filed, the average being six drawers of cards 5 x 8 inches, eight drawers of cards 4 x 6 inches, and ten drawers of cards 3 x 5 inches, allowing for two or more rows of cards per drawer, each row accommodating approximately 2,000 light-weight (7 to 7½ points thick) cards per row.

916. All vertical file drawers that are over 16 inches deep should be equipped with extension slides having either roller or ball-bearing fittings.

917. The test of the operation of a file drawer is not a

question of how easily it will open or close when empty, but how easily it can be handled when it is loaded to its average working capacity.

918. The contents of a correspondence file drawer will weigh from 60 to 75 pounds. A drawer properly constructed will operate more easily under this load than when empty.

919. In the majority of high-grade cabinets the drawers of the same size are interchangeable, but occasionally a drawer will not operate satisfactorily out of its original place.

920. Shifting of the drawers about in a filing cabinet is usually due to an effort to save time in connection with transferring or rearrangement of material in the files.

921. Before changing any drawers around in the cabinets, each drawer should be numbered consecutively, starting with the top drawer at the left and going down, and then taking the top drawer of the next row or unit, etc.

922. The corresponding number should be marked on the inside of the frame of the unit opposite the drawer, which will permit of the drawers being returned to their original places in case they do not fit satisfactorily when shifted around.

923. The question of wood or steel cabinets is largely a matter of preference, depending upon individual conditions, each having its advocates.

924. Sizes of Cabinets. There is a decided lack of standards in the sizes of filing cabinets, not only between different manufacturers of equipment but in the product of any one manufacturer, in which it is not unusual to find variations in the sizes of different types of cabinets all intended for the filing of the same-sized material.

925. In some instances these variations are so slight as to be negligible; in others there is enough difference to make it impossible to use the same filing equipment in two different cabinets.

926. Owing to these differences it has been found impracticable to list the exact sizes of the file drawer in the following tabulations of sizes, the maximum size of the material that can be filed in the drawer being given instead, allowing for the over-all height of the guides (including tab) in card index and vertical file drawers.

927. The following tabulations of sizes of the various styles of cabinets carried by different manufacturers represent the maximum sizes that can be filed as indicated in § 926. While these sizes have been verified with the latest obtainable catalogs as well as by direct communication with the various manufacturers listed, the question of such sizes should be taken up direct with the individual manufacturer as to exact measurements.

KEY TO TABULATIONS

FILING EQUIPMENT

S—Solid cases as described in §§ 901 a, 903, 904.
H—Horizontal units as described in §§ 901 b, 905 to 910.
V—Vertical units as described in §§ 901 c, 911 to 923.
T—Transfer boxes or drawers.

MANUFACTURERS

No.	*Name*	*Class of Equipment*
1	Library Bureau	Wood and steel
2	Globe-Wernicke Co.	"
3	Amberg File & Index Co.	"
4	Browne-Morse Co.	Wood only
5	Yawman & Erbe	Wood and steel
6	Macey Co.	"
7	Shaw-Walker Co.	"
8	Wabash Cabinet Co.	"
9	Art Metal Construction Co.	Steel only
10	Fire Proof Furniture & Const. Co	"
11	O. M. Edwards Co.	"
12	General Fireproofing Co.	"
13	Baker-Vawter Co.	"

Nature of Material Filed	Maximum Size of Card or Folder Allowing for Guides			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Index Cards	2	5		S												
	3	2¼		V								V				
	3	5		S	S	S	S	S			S			S		
	3	5		H	H	H	H	H	H	H	H	H			H	
	3	5		V					V			V		V	V	
	3	5		T	T			T	T							
Tabulating Cards, Short	3¼	5⅝		V								V				
" " Long	3¼	7⅜		V								V			V	V
Index Cards	4	2⅛														V
	4	5													V	
	4	6		S	S	S	S	S		S	S			S		
	4	6		H	H	H	H	H	H	H	H	H	H		H	
	4	6		V					V			V		V	V	V
	4	6		T	T			T	T							
	5	6⅞									H					
	5	8		S	S	S	S	S			S			S		
	5	8		H	H	H	H	H	H	H	H	H			H	
	5	8		V								V		V	V	V
	5	8		T				T	T							

Nature of Material Filed	Maximum Size of Card or Folder Allowing for Guides			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Telephone Toll Tickets	5¼	2⅞										V				
Index Cards	5½	8		V												
	6	4		S												
	6	8				V										
Deposit Tickets	7	4¼			S								V			
	7	4⅜										V				V
	7¾	4¼														
Index Cards	8	5		S	S						S					
	8	5		H	H		H		H		H					
	8	5							V			V				
Checks	3¾	9			S						S					
	3¾	9			H			H				H			H	
	3¾	9										V				V
	3¾	8⅝												V		
	4	8¾				H	H		H	H						
	4	9⅜														V
	4	9⅞		V												
	4	9⅞		H												
	4	11¾														V

Nature of Material Filed	Maximum Size of Card or Folder Allowing for Guides			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Checks *(Cont'd)*	4¼	9⅜		H												
	4¼	9⅜								S						
	4¼	10⅛							V							
	4½	9											V			
Mercantile Reports	5⅜	9⅛									H					
	5¾	9						H								
	6	11									H					
	6¼	9		H	H											
	6¼	9			S											
	6½	8⅝								H						
	7½	9				H										
	7¾	8¾							S							
	7¾	8¾							H							
	7¾	9⅜			V											V
	7¾	9⅜														T
Bill or Invoice	7⅜	9⅞						V								
	7½	9⅜			V											
	7½	9⅞		H			H					H				
	7½	9⅞		V		V	V		V	V	V	V		V		

Nature of Material Filed	Maximum Size of Card or Folder Allowing for Guides			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Bill or Invoice *(Cont'd)*	7½	9⅞		T												
	7½	10							V							
Correspondence or Letter	9½	11¾		S												
	9½	11¾		H		H			H							
	9½	11¾		V	V	V		V	V					V		V
	9½	11¾		T	T	T	T	T	T							T
	9⅞	11¾				H										
	9⅞	11¾				V										
	10	11¾				H	H			H	H				H	
	10	11¾			V	V	V			V	V				V	
Report	11	8⅞							H							
	11	9¼			V											
	11	9¾							V							
	11	10½							H							
	12	9¾									H					
	12	9¼														V
	12	11¾														V
Legal or Cap	9½	13⅜											V			
	9½	14¾										H				

Nature of Material Filed	Maximum Size of Card or Folder Allowing for Guides			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Legal or Cap *(Cont'd)*	9½	14¾										V		V		
	9½	15			V			V	V							V
	9½	15			H				H							
	9½	15			T			T								T
	10	14⅞									H					
	10	14⅞									V					
	10	15⅛		H			H			H					H	
	10	15⅛		V	V	V	V			V					V	
	10	15⅛		T	T	T	T			T						
	11	15⅛			V											
Architectural Plates, Ledger and Other Large-Size Sheets	11⅞	15		V												V
	12	16½														V
	14	9¾										V				
	14	15										V				
	16¾	15														V
Document	9⅜	4¼						H								
	9⅜	4¼														V
	9⅜	4¾			V				V					V		
	9⅜	4¾			H				H							

Nature of Material Filed	Maximum Size of Card or Folder Allowing for Guides			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Document *(Cont'd)*	9¾	3⅝							H							
	9¾	4⅛		H												
	9¾	4½							H							
	9¾	4½		V			V									
	9¾	4⅞		V								V				
	10	4⅛									H					
	10	4¼			H				H	H		H	V			
	10	4¼														
	10	4½			V	V						V				
	10	4½		H		H					H					
	10½	4¼		H	H		H									
	10¾	4						H								
	12	5														V
Maps or Routing	Sufficient for single map and routing tacks	18	23							H						
		21	29	H												
		21	34	H												
		21	37		H											
		23	28									H				
		23	28	V												
		24	36								H					

Nature of Material Filed	Maximum Size Drawer Will Contain			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Legal Blanks or Electrotypes	Approx.	8½	14								H					
	1¼	9	15	H	H		H	H	H			H				
	"	10	15	H	H											
	"	10	17						H							
	"	10	18						V							
	"	11	14		H								H			
	"	12	16						H							
	"	12	23						V							
	"	14	15			H										
	"	14	18							H						
	"	15	18		H											
	"	17	8								H					
Policy Blanks or Electrotypes		16	22						V							
		17½	24	V												
		18	24				H			H						

Nature of Material Filed	Maximum Size Drawer Will Contain			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Plan, Blue-print, and Flat Storage	Varies from 2 to 6 inches	10	15												H	
		10	24						V							
		11	12							H						
		11	15						H							
		11	23						V							
		12	14	H												
		13	14						H							
		13	15	H												
		14	14					H								
		14	15	H	H							H				
		14	16						H							
		14	17		H		H			H						
		14	21	H												
		14	22		V							V	V		V	

Nature of Material Filed	Maximum Size Drawer Will Contain			Manufacturer												
	Inches High	Inches Wide	Inches Deep	1	2	3	4	5	6	7	8	9	10	11	12	13
Plan, Blue-print, and Flat Storage *(Cont'd)*	Varies from 2 to 6 inches	14	29	H					H							
		15	18		H											
		15	30	H	H					H						
		15	37		H											
		16	28						H			H				
		17	22		H											
		17	23				H			H						
		21	29	H												
		21	33	H	H											
		22	29		H	H		H	H			H				
		22	37		H		H									
		23	30	H												
		23	35								H					
		23	38							H						
		22	27					H								

928. Sizes of Cards. In specifying the size of a card the height should always be given as the first dimension and the width as the second dimension.

929. While there are many instances of large-size cards being used for record purposes, the maximum size classed in the card index sizes does not exceed 8 inches in height or width.

930. When cards of the larger sizes are used, it is customary to designate such sizes by the style or size of the file into which they will fit, i.e., a card 9½ x 11¾ inches would be described as a correspondence-size card, or one measuring 10 x 15 inches as a legal-size card.

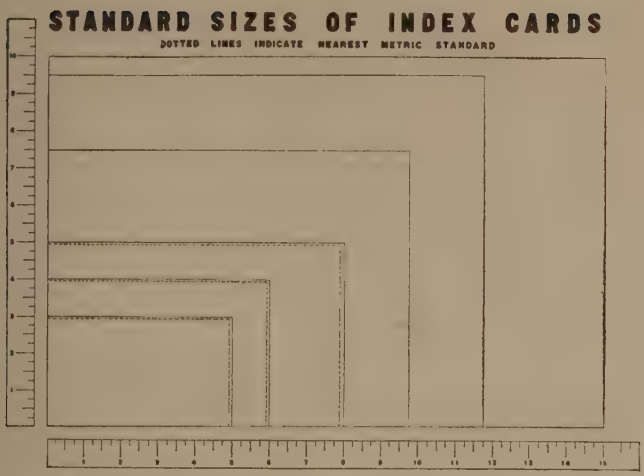
931. Due to the fact that there are two standards of measuring cards, inch and metric, care should be taken to see that the two sizes are not mixed in the same set of cards or records. Whichever size is adopted should be maintained throughout the file.

932. This feature will be readily noticed, as the inch-size cards are usually a trifle larger than their metric equivalents, the mixing of the two sizes materially decreasing the efficiency of the files.

933. The following list of sizes shows both the inch size and the nearest metric equivalent in centimeters, if any:

Card	Inch Sizes		Centimeters	
	High	Wide	High	Wide
Index, half-size	3	2¼	7.5	5.8
Index, bank			6.5	10
Index	3	5	7.5	12.5
"	4	6	10	15
"	5	8	12.5	20
"	6	4	15	10
"	8	5	20	12.5

In the following illustration the inch sizes are indicated by solid lines and the metric sizes by dotted lines.



934. Sizes of Folders. Before ordering special folders or large-size cards, the size should be checked against the sizes of the cabinets available for the filing of such folders or cards, so as to avoid the necessity of ordering cabinets made to order because the folder or card has been made up in a freak size. (See § 927.)

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935. Alpha-Merical. An alphabetically arranged correspondence-size file using partly single and partly duplex designations of the alphabetic divisions on the tabs of the guides which are alternated in the first two positions at the extreme left, followed by a colored miscellaneous folder for each alphabetic division, tabbed in a third position; the tabs of the individual folders occupying the balance of the width of the file at the right (approximately half of the width).

936. This file can be operated as a direct alphabetic file as described in § 312, or as an alphabetic-numeric file as described in §§ 337 to 341. (Wabash Cabinet Co.)

937. Automatic (Patented). An alphabetic-numeric system described in §§ 348 to 363, operating as a two-name system, using single designation of the alphabetic divisions, followed by the automatic checking number as a check on the correct filing of the material.

938. This system can be used for correspondence, credits, invoices, and legal papers. It is also adapted to card index and card ledger work, the arrangement of the guides being modified to meet the requirements. (Library Bureau.)

939. Best's Filing System (Patented). A filing system for cards only, involving the use of special trays and cards, the trays having wire rods running from front to back of the tray, which is of sufficient width to permit of offsetting the cards so that the titles of six or eight cards are visible, it being necessary to move these cards before the succeeding set is visible.

940. Each card has a series of fingers or elongated tab projections at the bottom which straddle the rods at any position the card is placed, insuring the maintenance of the offset position. (Best Index Co.)

941. Direct Alphabetic. A direct alphabetic file for correspondence, invoices, credits, legal-size papers, using single alphabetic designations on the tabs of the guides and miscellaneous folders, the tabs of the guides alternated in the first three positions, with the miscellaneous folders tabbed at the extreme right, the individual folder being tabbed in a position between the guides and the miscellaneous folders as shown in § 312.

942. The guides and miscellaneous folders are numbered as described in §§ 337 to 341 and can be used as an alphabetic-numeric file to the extent indicated in the sections mentioned. (Library Bureau.)

943. Direct Name. An alphabetic correspondence file using duplex designations of the alphabetic divisions on the tabs

of the guides and miscellaneous folders, the miscellaneous folders being tabbed in the first position tab of a sixth cut, the guides tabbed alternately in the second and third positions, with the individual folders tabbed so that the tab occupies the balance of the width of the file.

944. This file can be operated as an alphabetic file as described in § 312, or as an alphabetic-numeric file as described in §§ 337 to 341. (Yawman & Erbe Manufacturing Co.)

945. Economy Index. A direct alphabetic filing system for correspondence, with single alphabetic designations printed on the tabs of the guides, expansive in the following manner:

946. Initial installation of guides consists of a 25-division alphabetic set all tabbed in the first position at the left; additional guides tabbed in the second position are used to divide the material behind the first guide according to the second letter of the name or word.

947. If additional divisions are required they are obtained by inserting a third series of guides tabbed in a third and distinct position according to the third letter in the name or word.

948. Individual and miscellaneous folders are tabbed at the extreme right in the same positions, distinguished by the color of the folders and printed designation on the miscellaneous folders. (General Fireproofing Co.)

949. Expandex (Patented). An alphabetic arrangement of guides for index cards expansive in the following manner: Primary guides for the main alphabetic divisions are tabbed in the first position at the left; secondary guides are inserted at points showing congestion, dividing according to the vowels, or if necessary by vowels and consonants.

950. If additional divisions are required, special surname guides are inserted, all tabbed at the extreme right, the material behind each of these guides being subdivided by means of initial guides. (Shaw-Walker Co.)

951. Gravity Index (Patented). A visible card system using special cards of uniform size, arranged in frames or panels having flanges on each side which hold the cards in the frame, while tongues or cuts in each card hold the card above it in position so that the top line or space on every card is exposed to view.

952. Additional cards can be inserted at any point desired up to the capacity of each frame, new frames being added as required. The frames are mounted either on a revolving pedestal or a wall bracket as described in § 112. (Gravity Visible Index Co.)

953. Haines Commodity Index (Patents pending). An alphabetically arranged index of 953 guides for use with 5 x 8 inch specially printed cards, developed for the handling of the records of railroad offices, dealing with the correspondence and records pertaining to "over and short freight."

954. The same set of guides is used in each instance, the ruling and printing of the index cards varying according to the nature of the record involved, e.g., station over and short freight index, loss and damage bureau index, over warehouse freight index, station correspondence index, traffic department correspondence index, purchasing department price index. (Haines Commodity Index Co.)

955. Ideal Index. An alphabetic file for correspondence, using partly single and partly duplex designations of the alphabetic divisions on the tabs of the guides which are alternated in the first two positions at the extreme left, followed by a colored miscellaneous folder for each division tabbed in a third position, the individual folder tabs occupying the balance of the width of the file at the right (approximately half the width of the file).

956. This file can be operated as an alphabetic file as described in § 312, or as an alphabetic-numeric file as described in §§ 337 to 341. (Shaw-Walker Co.)

957. INDEX VISIBLE (Patented). A visible card system using special cards of uniform size, arranged in frames or panels by means of tongues or cuts in the cards engaging a strip running from top to bottom in the center of each panel. These tongues or cuts interlock so that the top line or space of each card is exposed to view, the balance of the material recorded on the card being consulted by pulling the cards in front of it out of the way so as to obtain a view of that card.

958. Additional cards can be inserted at any point desired up to the capacity of each frame, new frames being added as required. The frames are mounted either on a revolving pedestal or a wall bracket as described in § 112. (Index Visible, Inc.)

959. LEADER. An alphabetic correspondence file with either duplex or multiple alphabetic designations printed on the tabs of the guides which are arranged alternately in the third, fourth, and fifth positions, with guides for special names or subjects tabbed at the extreme left, the tab equal to the first and second positions of fifth-cut guides.

960. All folders, including tabbing, are less in height than the body size of the guide, the miscellaneous folders being tabbed in the first position of a fifth cut, the tabbing of the individual folders being equal to two fifth-cut tabs, arranged so that the tabs fall in alternate positions to the right of the miscellaneous folder.

961. "Alno" type of this equipment carries duplex designations of the alphabetic divisions on the tabs of guides and miscellaneous folders, without any numbering of the guides.

962. "Marno" type carries multiple designations of the alphabetic divisions on the tabs of the guides and miscellaneous folders (i.e., on one guide would appear "ALLF-ALLZ ALM-ALO"), the guides and miscellaneous folders being numbered consecutively, allowing for the operation of this type as an alphabetic-numeric file as described in §§ 337

to 341, the arrangement of guides and folders being the same in both types. (Amberg File & Index Co.)

963. Library Bureau Visible Index (Patented). An arrangement of cards or strips of uniform width, varying in height according to the amount of material to be recorded, all portions of such cards or strips being entirely visible.

964. Strips are made up in card form, being cut apart after they are written (typewritten or handwritten), and inserted in their proper sequence in the metal frames or panels. The flanges on each side hold the strips in place, and all strips in a frame are covered with sheets of transparent celluloid to protect them from being soiled or injured.

965. Additional strips can be inserted at any point desired up to the capacity of each frame, new frames being added as required. The frames are mounted either on a revolving pedestal or a wall bracket as described in § 112. (Library Bureau.)

966. Mecha Memo. An alphabetically arranged correspondence or letter size file, all guides tabbed in one position at the extreme left of the file, the folders (straight-edge) being printed along the top edge of the back flap with numbers from 1 to 31 inclusive for the days of the month, signals being used to indicate the follow-up date in the same manner as described in §§ 80 to 82. (Boston Card Index Co.)

967. Natural Index. An alphabetic arrangement of guides for index cards, all primary guides for the main divisions of the alphabet being tabbed in the first position at the left. The method of providing for expansion varies in different lists and frequently in the same list.

968. The first expansion of the index is obtained by the use of secondary guides (9 or 26) covering the second letter of the name or word if the primary guide carried only one-letter designations; or if two-letter designations were used on the primary guides, then the secondary guide represents the third

letter of the name or word, these secondary guides being tabbed in staggered positions exclusive of the first position.

969. In large lists where the common names such as Baker, Brown, Burns, Smith, etc., run into volume, such surnames are printed in full on the primary guide, the secondary guides being used to separate the given names or initials.

970. Congested sections of the index are provided for by means of a tertiary set of guides (9 or 26), dividing the material by the next succeeding letter of the name or word not covered by the secondary guide, these tertiary guides being distinguished by the color; the tabbing and arrangement being the same as the secondary guides. (Wabash Cabinet Co.)

971. NUMERALPHA. An alphabetic-numeric file for correspondence of the type described in §§ 342 to 345, using duplex designations of the alphabetic divisions on the tabs of the guides which are alternated in the first two positions of sixth-cut guides, with each guide numbered consecutively from the beginning to the end of the set.

972. Miscellaneous folders are tabbed in the third position, carrying only the numeric designation assigned to the corresponding guide.

973. Individual folders are tabbed in staggered positions to the right of the tabs of miscellaneous folders, the designation on the tab being only the number, the folder numbers starting behind each guide with number 1, the name being registered on the guide. (Roneo Co.)

974. PERPETUAL. An alphabetic file for correspondence or legal size papers with single alphabetic designations printed on the tabs of the primary guides, expansive in the following manner:

975. Original installation of guides consists of a set of primary guides all tabbed in the first position of a fifth cut, ranging from 27 to 400 guides per set.

976. As additional divisions are required they are obtained by inserting secondary guides tabbed in the second position, so as to divide the material according to the second letter of the name or word.

977. Congested sections of the file are provided for by the use of a tertiary set of guides tabbed in the third position, dividing the material behind a secondary guide according to the third letter of the name or word.

978. Individual and miscellaneous folders are tabbed at the extreme right in the same positions, being distinguished by the color of the folders and the printed designations on the miscellaneous folders. (Macey Co.)

979. Rand Visible Index (Patented)—Strip Type. An arrangement of strips of uniform width, varying in height according to the amount of material to be recorded, such strips being held in place by flanges on each side of the frame or panel, so that all portions are visible when they are inserted.

980. These strips are mounted on flat tapes to permit of their insertion in the typewriter, being detached from the tapes after the strip is written.

981. Additional strips can be inserted at any point desired up to the capacity of the frame, new frames being added as required, the frames being mounted either on a revolving pedestal or a wall bracket as described in § 112.

982. Rand Visible Index (Patented)—Tube Type. This is the same in principle and operation as the strip type, the heavy card strips being replaced by transparent celluloid tubes, in which thin paper strips are inserted after being typewritten in sheet form and torn apart at the perforations.

983. Each frame is filled to its capacity with tubes, and the paper strips are inserted at any point, the tubes being shifted and new frames being added as required, these latter being mounted on a pedestal or a wall bracket as described in § 112.

984. Rand Visible Index (Patented)—Overlapping Card Type. A visible card system using special cards of uniform size, arranged in frames or panels by means of a hinged strip at the top of each card. This strip is of sufficient width to engage in the flanges on each side of the panel or frame, and each card overlaps the next so that only a small space or line of writing at the bottom of each card is visible, it being necessary to raise the overlapping cards to consult the balance of the material recorded on a given card.

985. Additional cards can be inserted as described in § 984, the frames being mounted as described in § 112.

986. Rand Visible Index (Patented)—Overlapping Pocket Type. A visible card system using special hinged pockets, the lower portion of each pocket being of transparent celluloid. These pockets are inserted in the frames in the same manner as the overlapping card, and plain or printed cards are placed in them, the bottom line of writing on each card being visible. The cards are removable without detaching the hinged pocket from the frame.

987. Additional pockets can be inserted in the same manner as the overlapping cards, the frames being mounted as described in § 112. (The Rand Company.)

988. Safe Guard. An alphabetic file for correspondence, using partly single and partly duplex designations of the alphabetic divisions on the tabs of the guides, which are staggered in the first three positions of sixth-cut guides.

989. A miscellaneous folder is provided for each guide division, being tabbed in the same position as the guide of corresponding designation.

990. The individual folders are tabbed so that the tab occupies the right half of the width of the file. (Globe-Wernicke Co.)

991. Simplex. An alphabetic file for correspondence,

using single designations of the alphabetic divisions on the tabs of the guides and miscellaneous folders. The guides alternate in the first two positions with the miscellaneous folder uniformly in the third position of sixth-cut tabs.

992. The individual folders occupy the same positions as in the illustration under § 312, the remaining space at the right being used for metal-tipped guides covering special names.

993. This file can be operated as an alphabetic file as described in § 312, or as an alphabetic-numeric file as outlined in §§ 337 to 341. (Browne-Morse Co.)

994. Simplified. An alphabetic file for correspondence, using single designations of the alphabetic divisions on the tabs of the guides and miscellaneous folders. The guides alternate in the first two positions, with the miscellaneous folders uniformly in the third position of sixth-cut tabs.

995. The individual folders are all tabbed in one position, the tab occupying the right half of the width of the file. (General Fireproofing Co.; also Boston Card Index Co.)

996. Twin Index (Patented). An alphabetically arranged correspondence file, using duplex designations of the alphabetic divisions on the tabs of the guides and miscellaneous folders. The guides are tabbed (metal tip) so that they alternate in two positions in the center of the width of the file, with the miscellaneous folder tabbing to the left of the first guide.

997. Individual folders each have two tabs placed at the ends of the folder, the left tab used for the name or subject and the right tab for the address or location.

998. The guides and miscellaneous folders are numbered as described in §§ 337 to 341, and can be used as an alphabetic-numeric file to the extent indicated in the sections mentioned. (Art Metal Construction Co.)

CHAPTER XXVI

FILING IN LAWYERS' OFFICES

999. In the filing of legal papers the basic unit is the client; all other individuals, concerns, property, etc., being treated as subordinate to the client.

1000. While it is possible to file alphabetically by the name of the client, using separate folders for each case or matter handled, it will be found more satisfactory to file all papers under one of the forms of numeric system, with a card index alphabetically arranged which allows for the cross-indexing.

1001. When a straight numeric system is used, assigning a number in consecutive order to each case or matter handled, the objection lies in the fact that the various cases or matters handled for any particular client are scattered through the files, the number of intervening cases depending upon the time elapsing between the receipt of one case and the next from the same client, as well as the number of cases received from other clients in the meantime.

1002. By using the primary and secondary or duplex numeric system (see §§ 159-163, 432-433), the primary number can be used to designate the client, each case or matter handled for that particular client being indicated by the secondary number, permitting the grouping of the records pertaining to a given client and his affairs in one place.

Indexing

1003. The first thing to be done is the establishment of the index which can be handled in most instances on 3 x 5 inch cards, either with the correspondence index ruling (as shown

on the card forms appearing in this chapter), or specially ruled and printed if the nature and amount of the indexing make it advisable.

1004. Certain terms in common use in the legal profession are used in the indexing of legal papers in the following manner:

1005. VERSUS or its abbreviation Vs. is used in the recording of a case between the names of the plaintiff and the defendant, the latter terms being dropped in indexing. When versus or vs. is used it follows the name of the plaintiff and precedes that of the defendant, the names being inverted as in any other form of alphabetical index, e.g.:

Adams, Charles F. vs. George E. Bradley

1006. If Charles F. Adams is the first client, the number 1 file is assigned to him. The first case being an action to be brought against George E. Bradley, is indexed as follows:

Adams, Charles F.	1
100 Broadway, New York.	
vs. George E. Bradley	1 - 1

1007. ADVERSUS, AD VS., or ADS. In order to cross-index properly, distinguishing between the plaintiff and the defendant, one of these terms is used whenever it becomes necessary to name the defendant before the plaintiff. In cross-indexing, the card is written as shown in the first illustration on page 217.

1008. The fact that Bradley is not a client is indicated by

the absence of a client's number in the upper right-hand corner of the index card.

Bradley, George E.	
111 Fifth Avenue, New York.	
ads. Charles F. Adams	1 - 1

1009. If the next case received from the client, Charles F. Adams, is one in which he figures as a defendant, with Herbert E. Price as the plaintiff, an additional entry is made on the index card for Adams, which would then read:

Adams, Charles F.	1
100 Broadway, New York.	
vs. George E. Bradley	1 - 1
ads. Herbert E. Price	1 - 2

1010. The cross-index card covering the plaintiff, Price, is made out, reading:

Price, Herbert E.	
949 Broadway, New York.	
vs. Charles F. Adams	1 - 2

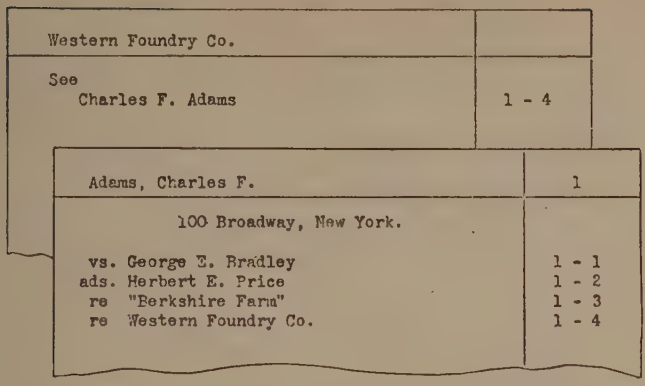
1011. IN RE, or the shorter equivalent RE, is used in connection with matters that do not involve actions being brought in court, such as the drawing of contracts, deeds, wills, consultations, etc.

1012. To illustrate—the next matter to be handled for the client, Charles F. Adams, is in connection with a piece of farm property, a third entry being made on the Adams index card:

Adams, Charles F.	1
100 Broadway, New York.	
vs. George E. Bradley	1 - 1
ads. Herbert E. Price	1 - 2
re "Berkshire Farm"	1 - 3

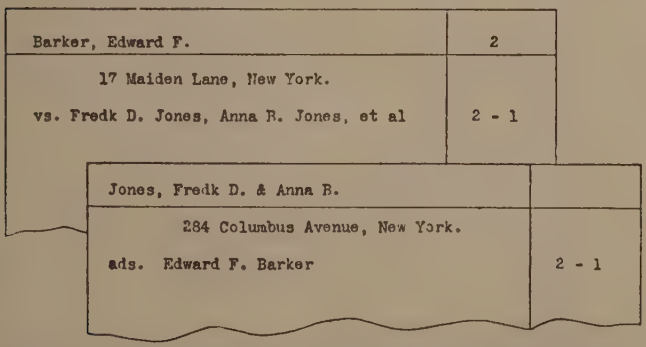
1013. Ordinarily no cross-index card would be required for this item, as the possibility of a question regarding the farm coming up without involving the name of the client would be remote. If for any reason it was considered desirable to cross-index such items, the card would be made out with the title "Berkshire Farm" and filed in its proper sequence in the B section of the index.

1014. On the other hand, if the consultation related to some individual or organization in which the client was interested, it would be advisable to cross-index under the name of the individual or organization involved, at the same time adding the item to the index card of the client; e.g., a consultation relating to the Western Foundry Company would be indexed:



1015. Et Al. This term is used as a short abbreviation to cover a number of individuals jointly involved as plaintiffs or defendants in an action, the term "et al." following the name of the principal person or organization involved.

1016. An action entered for a client, Edward F. Barker, against Frederick D. Jones, Anna B. Jones, and a number of other defendants, would be indexed:


Barker, Edward F.
2
17 Maiden Lane, New York.
vs. Fredk D. Jones, Anna B. Jones, et al
2 - 1
Jones, Fredk D. & Anna B.
284 Columbus Avenue, New York.
ads. Edward F. Barker
2 - 1

1017. In some instances the number of cases or items handled for a client cannot be contained on one index card, in

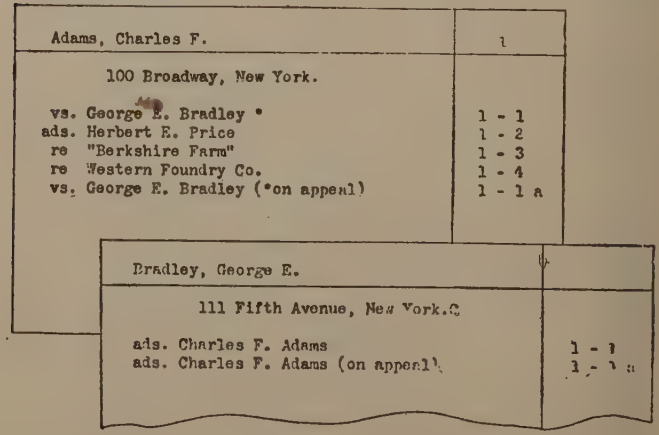
which event additional index cards can be used in the manner described in §§ 160, 161.

1018. Cases on Appeal. When a case is carried from a lower to a higher court on appeal, it usually means the preparation of new papers, and is to all intents and purposes the equivalent of a new case.

1019. From certain standpoints it will be found more satisfactory to keep all papers relating to a case, its appeal, re-trial, etc., together in one location.

1020. This can be done by making an additional entry on the client's card, suffixing a letter of the alphabet to the original number under which the case is indexed, and inserting a new folder bearing the same designation immediately behind the folder containing the papers pertaining to the original case, e.g.:

1021. In the case of Charles F. Adams vs. George E. Bradley, the case number was 1 - 1. If appealed, all papers handled in connection with such appeal would be indexed and filed under case number 1 - 1 a, the index card being amended to read:



1022. These index cards are filed in alphabetic order in card index trays according to the names or subjects appearing as the title or top-line entry on the card.

Filing of Papers

1023. Owing to the fact that papers are removed from the files and frequently the entire file is taken from the office, it is essential that the possibility of a paper being lost from the file be eliminated as far as possible.

1024. This can be accomplished by the use of a letter or file back (see §§ 304, 305) or a binder folder (see § 24). In either case the paper would be fastened together, and would also be attached to the back or folder.

1025. After the papers relating to a particular case are indexed, they are arranged in chronological order with the earliest paper at the bottom, and the one bearing the latest date at the top of the file back or folder.

1026. If the file back is used, one for each case or division of a case, a number of small cases can be placed inside of one expansion envelope, which would bear the number assigned to the client; or if the papers pertaining to one case ran into volume, the envelope might only contain that case.

1027. The type of fastener used will depend to a certain extent upon the volume of papers, it being possible to use the small paper fasteners where there is a small number of papers, while a more substantial one is required when the papers run into volume.

1028. When binder folders are used the envelopes can be omitted, the files being handled under the following arrangement: The first folder (not a binder folder) bearing the primary number assigned to the client, would contain general correspondence with or pertaining to the client, duplicate copies of bills, statements, etc., sent to the client, but no papers relating to specific cases or matters are put in these folders.

1029. Case Folders. Behind the client's folder the papers

pertaining to the various cases or matters handled would be filed in binder folders, one folder to each case or matter, these folders all being numbered with the client's number followed by case number which would be assigned in consecutive order.

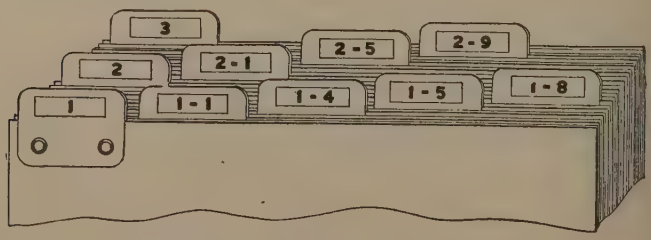
1030. Taking the material covering items handled for the client Charles F. Adams, the folders would be:

First folder,	Charles F. Adams,	No. 1
Second "	vs. George E. Bradley,	1-1
Third "	vs. George E. Bradley (Appeal),	1-1 a
Fourth "	ads. Herbert E. Price,	1-2
Fifth "	re "Berkshire Farm,"	1-3
Sixth "	re Western Foundry Co.,	1-4

1031. GUIDES. The number of guides required between the envelopes or folders will vary according to the volume of material covering the records of any one client.

1032. The most satisfactory guide for legal files is one of pressboard, metal-tipped, fifths assorted, which allows for expansion of case numbers under the client's number as required, permitting the removal of the guide or changing of the designation after the material is transferred.

1033. These guides can be used to advantage in the following manner: first-position tabbed guides exclusively for the client's number, the other four positions being used for the case numbers. These guides are inserted as they are needed, due either to the volume of the papers on one case, or the number of cases received.



1034. Transferring. Cases should not be removed from the current files to transfer drawers or boxes, either complete or in part, except by authority of the attorney handling the case or the managing clerk.

1035. At regular intervals—a year, six months, or any other period that may seem advisable—a list of cases (file numbers and names) should be submitted to the managing clerk to approve for transfer.

1036. The care of transferred papers is as important as the care of the current files. The papers covering a case closed by a court decision and transferred on that basis may be required again on account of the case being reopened by an appeal to a higher court.

1037. The type of transfer drawer or box to be used will depend upon the conditions in each office as to space available and amount of references to cases after they are transferred.

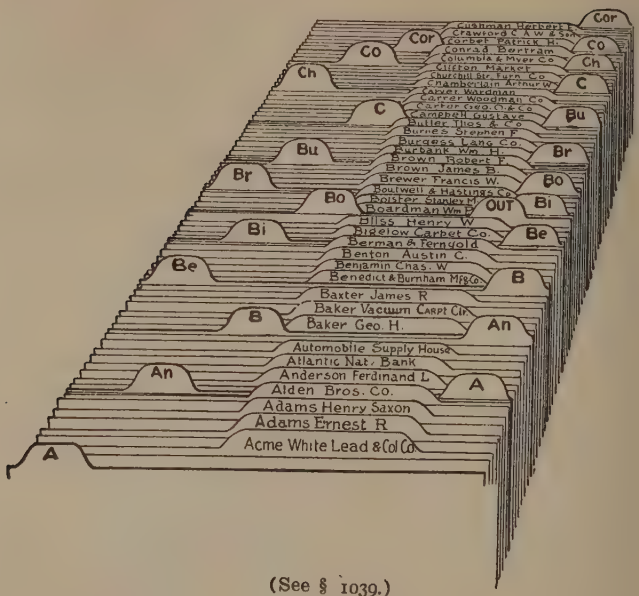
1038. Miscellaneous Correspondence. Outside of the legal papers and correspondence pertaining to the cases, every law office will have a certain amount of correspondence of a miscellaneous character to be filed, such as bills for rent, telephone, telegraph, stationery, towel and ice service, as well as sundry letters on various subjects.

1039. Provision can be made for these papers by using an alphabetical file, either legal or correspondence size, with miscellaneous folders for the odds and ends, and individual folders for material running into volume or of sufficient importance to warrant the use of an individual folder. (See cut, p. 224.)

1040. Diary. In the smaller law offices the lawyer's diary usually serves several purposes:

(a) As a tickler covering engagements, cases coming up for trial, payments promised by debtors, bills to be paid.

(b) As a daily record of services rendered clients, being used as the basis for rendering bills to clients.



(See § 1039.)

1041. This may prove satisfactory so long as the items to be recorded do not run into volume, the service being performed by a limited number of persons. The bound diary proves inadequate as the number of items to be recorded increases.

1042. For the same reason follow-up work running into volume can be handled to better advantage with the use of a card-index tickler as described in §§ 285 to 290 inclusive.

1043. Day or Service Slips. In the larger organizations, where items are apt to run into volume, the requirements are met by the use of day slips or daily report blanks, one or more of these slips being made out each day by each and every person connected with the office having anything to do with any case.

1044. Each entry is headed with the title of the case or the subject, which is followed by a detailed report of what has been done by the individual in connection with the matter, as many items being listed on a sheet as its capacity permits.

1045. These slips are turned in each day to the bookkeeper or a special clerk (sometimes the managing clerk) to make the necessary entries in the register covering these reports.

1046. It is advisable to number the entries on these day slips, continuing the numbers from one slip to the next and from one day to another, starting with number 1 and continuing until the numbers become cumbersome, at which time the numbering can be started at 1 again, using a letter of the alphabet prefixed to each number to identify the new series.

1047. By recording this number opposite the entry on the register, the detail of any item on the register can be referred to without loss of time, the day slips being filed chronologically and the sequence of numbers being maintained at the same time.

1048. Register. The register is usually a loose-leaf book with the sheets arranged either alphabetically according to the names of the clients, or else numerically by case numbers.

1049. A sheet or page is inserted for each and every case or matter handled for a client, the data being taken from the diary or day slips. This record is a summary of services and disbursements in connection with the case, and the basis on which invoices are rendered to clients.

Digests and Opinions

1050. While the digests of new laws, court decisions, testimony given in trials with citations, are published and indexed within a very short time after their promulgation, there is a

great deal of information of value to each individual lawyer that such publications do not and probably cannot give.

1051. If such information is to be turned to account it must be recorded and filed so that it is available when required.

1052. As a nucleus for a subject file of this description, two items are immediately available in connection with cases or matters handled for clients.

1053. Opinions. When opinions are written for a client or a fellow practitioner, an additional carbon copy should be taken in each instance and filed under the heading or subject such opinion covers.

1054. Digests. As soon as a case is completed, a digest should be made of it, the original copy being filed with the case, and a duplicate copy being filed in the same file together with copies of opinions under whatever heading the case belongs.

1055. Owing to the variation in the class of cases handled by different lawyers, each specializing in some particular branch of legal work, it is impracticable to outline any definite classification of subjects that could be adapted to general use.

1056. This file should be maintained as a distinct division, the plan of operation based on subject filing (Chapter X), or in the larger organizations, on information and data filing (Chapter XVI).

Legal Blanks

1057. The supply of legal blanks of various kinds can be housed satisfactorily in shallow drawers, not over 1½ inches in height, the width and depth of the drawer being sufficient to hold the blanks flat with a small margin to spare.

1058. While filing equipment for the housing of legal blanks can be obtained in both vertical and horizontal types of units, the horizontal type of cabinet will usually prove the more satisfactory.

CHAPTER XXVII

ARCHITECTURAL FILING

1059. In the operation of an architect's office the material to be filed resolves into certain groups that will require definite consideration to provide, as the organization grows, for the increase in the volume of the records to be maintained.

1060. These groups usually develop in the following order, varying in some instances due to the individual conditions in a particular office:

(a) Contract file, including signed agreements with the client and contractors involved.
(b) Job file, containing all papers relating to each job, exclusive of signed contracts.
(c) Specifications—copies made up covering the detail of a job to be distributed to bidders and others interested, these being incorporated in the agreements made with the successful bidders.
(d) Drawings and prints.
(e) Drawings and prints (full-size details).
(f) Trade and general files.
(g) Catalogs and price lists.
(h) Library (including books, architectural and engineering magazines, photographs, and architectural plates).

1061. As in other professional lines, the architect's interest is in the execution of the commission obtained from the client, the records and files maintained being as few and as simple as possible.

1062. For some time after entering upon the duties of his profession, the architect seldom has so many commissions from clients, with the incidental agreements with contractors, as

to require serious consideration of the method of filing, the material belonging to the first group being disposed of, for the time at least, by stowing it in his desk, in the pigeonhole of the safe (if there is one), or if he is extremely careful, in a box in a safe deposit vault.

1063. In the larger establishments the signed contracts comprising this group would be filed in the safes or vaults of the organization, all contracts pertaining to a given job being kept together, arranged alphabetically or by job number.

1064. This brings us to the second group designated as the job files, in which all correspondence and reports (excepting signed contracts) pertaining to a given job are brought together, the equipment used varying from the box file to the vertical file.

1065. In starting the files belonging to this group, the architect frequently adopts the alphabetic method of filing, which appeals to him as the easiest method of handling papers connected with each job.

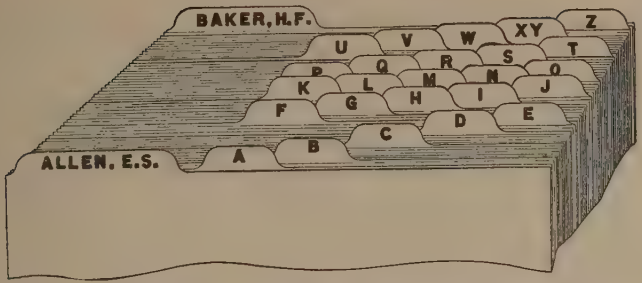
Alphabetic Filing

1066. In the offices where the alphabetic arrangement is given the preference, two mistakes are often made: First, the use of the box file, limited in capacity, instead of vertical files which can be obtained in such small units as to warrant the elimination of the box files even in the smallest office.

1067. Second, the arrangement of papers within the division of the files representing the client, according to the names of the contractors or other individuals involved, alphabetically arranged as shown in the illustration on page 229.

1068. The objection to filing alphabetically by the name of the contractor or other individual involved, develops in connection with the fact that one contractor may be substituted for another on the same class of work in different jobs.

1069. When filed according to the name of the contractor,



a person consulting the files of any particular job would have to know the name of the contractor, or else examine each of the alphabetic divisions in order until the papers required were located.

1070. *Exception.* An architect, handling the job through a general contractor—i.e., turning over to one contractor all specifications and general authority to proceed with the work—does not ordinarily come in contact with the individual contractors, as the general contractor assumes all responsibility in connection with the execution of the job.

1071. When handled in this manner all correspondence with the general contractor should be kept in one folder, any papers received from the sub-contractors being forwarded to the general contractor instead of being filed in the architect's office.

1072. If the alphabetic method of filing is used for the papers relating to jobs, it will be found much better to arrange the material according to a specification grouping instead of under the contractor's name, thus bringing the papers together under the class of material or work done, and establishing a fixed unit of reference.

1073. In making up plans and specifications, each architect develops the detail of the specifications according to his individual ideas, such detail being carried as fine as the architect desires, or the conditions require.

1074. In setting up a classification of the divisions used in specification grouping, it is impracticable to set one up as a standard classification as it would be difficult to find two practicing architects who would agree on any classification in its entirety.

1075. The following classification will serve to illustrate the method of applying fixed terminology to the consecutive operations in connection with the filing of the papers on each and every job, the classification to be modified or amplified according to the individual ideas of the architect.

Specification Classification

1076. This classification is arranged in progressive order, as far as possible following the sequence of operations.

1	PERMITS—Building, Tenement, and Fire Departments, Electrical and Gas
2	ARCHITECT, ASSOCIATE
3	ENGINEER, CONSULTING
4	SUPERINTENDENT
4 a	Clerk of Works
5	ESTIMATES
6	DEMOLITION
6 a	Temporary Quarters
7	EXCAVATION
7 a	Shoring, Sheath Piling, Bridge Piling
7 b	Pumps
7 c	Blasting
8	FOUNDATIONS
8 a	Waterproofing
9	MASONRY
9 a	Cut Stone
9 b	Blue Stone
9 c	Granite
9 d	Brick, common
9 e	Brick, face
9 f	Limestone

9 g Artificial Stone, cement
9 h Reinforced Concrete
10 Structural Steel
11 Terra Cotta
12 Marble and Tile
13 Iron Work, Miscellaneous
14 Iron and Bronze, Ornamental
15 Fireproofing
15 a Shutters
15 b Metal-Covered Doors and Trim
15 c Metal-Covered Windows
15 d Metal Doors and Trim
15 e Metal Windows
15 f Thermostats
15 g Sprinklers, automatic
16 Floors and Floor Systems, Fireproof
16 a Reinforced Concrete
16 b Hollow Tile
17 Elevators
17 a Passenger
17 b Freight
17 c Ash Lifts
17 d Sidewalk Lifts
17 e Dumbwaiters
18 Mill Work and Lumber
19 Glazing
20 Carpentry
20 a Rough Joinery
20 b Cabinet Work
21 Floors, Finished
21 a Parquetry
21 b Composition (Cork, Tile, etc.)
22 Roofing
22 a Cornice
22 b Sheet Metal
22 c Slate

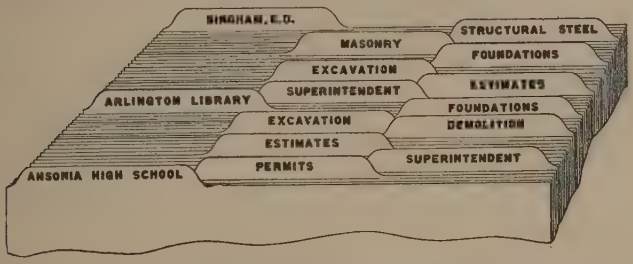
23 Sidewalks
23 a Paving
23 b Cement Work
23 c Vault Lights
24 Electrical
24 a Schedule of Fixtures
24 b Wiring
25 Heating and Ventilating
25 a Heating
25 b Ventilating
26 Plumbing
26 a Plumbing Fixtures
26 b Toilet Accessories
27 Painting
27 a Interior Finishing
27 b Decorating
28 Plastering
28 a Plain
28 b Ornamental
29 Progress Photographs

1077. With the files arranged alphabetically by name of client or the title of the job, the divisions are established as required on each job, and are maintained in progressive order (practically in sequence of building operations as indicated in the classification given, or else in alphabetic sequence of the titles of the various operations listed).

1078. A division in the file is only created as the contract for that particular phase of the work is awarded, the arrangement of the guides being either progressive or alphabetic according to the plan adopted.

1079. As soon as a contract is awarded, the estimates of the successful bidder should be removed from the estimate file and placed in the folder under the heading by which the class of work or material involved is designated.

1080. Metal-tipped guides in three positions should be used, with guides tabbed in the first position exclusively for the name of the client or the title of the job, guides tabbed alternately in the second and third positions for the divisions of the job, the progressive arrangement of the division guides being shown in the following illustration:



1081. Folders bearing the same designations as the division guides are placed behind these guides for the papers, subdivisions being provided for by the insertion of additional folders behind the first one of the division.

1082. The designations on the guides and folders may vary on different jobs, due to the omission of some phases of the work and the inclusion of others. (See illustration, § 1080.)

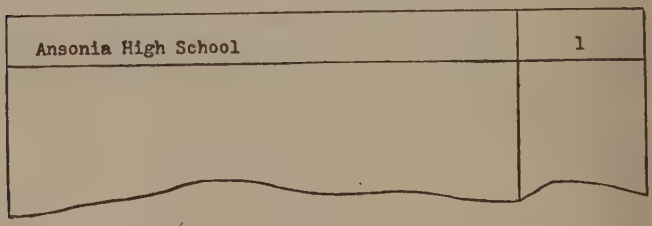
Numeric Filing

1083. With the growth of the establishment, many architects who have started out with an alphabetic file change over to a numeric system, because of the advantages gained through the ability to number jobs, keying in the drawings, prints, and specifications, and using one index to cover all of these groups.

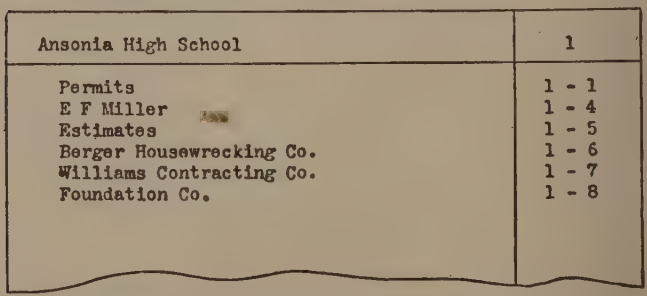
1084. If the files are maintained alphabetically, with the divisions and subdivisions according to the class of work (specification classification), the changing from one system to the other can be accomplished without changing the arrangement of the files.

1085. Where the filing has been handled by the names of the contractors, it will be found advisable, before starting to index, to rearrange the folders or papers in accordance with the specification classification adopted.

1086. If job numbers have not been used, the first thing to be done is the assignment of a number to each job, which is then covered by index and cross-index cards.



1087. Using the numbers applied to the specification grouping in § 1076 as secondary numbers, the subdivisions being provided for by suffixed letters of the alphabet, the names of the contractors are entered on the index card, the number always designating the class of work or material.



1088. While it is possible to omit these entries on the job index card, relying upon the standardized specification grouping to locate the individual contractor, the sub-indexing is advantageous as it gives immediate reference to the names of the contractors.

1089. Cross-indexing should always be carried out covering all of the names involved in any transaction in connection with the job.

Miller, E.F.	
Ansonia High School	1 - 4

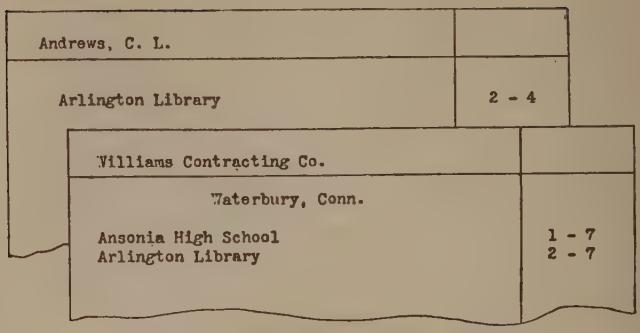
Berger Housewrecking Co.	
Ansonia High School	1 - 6

1090. On the next job another superintendent is used, the contractors also changing in some instances.

Arlington Library	2
Andrews, C.L.	2 - 4
Estimates	2 - 5
Williams Contracting Co.	2 - 7
Reynolds Waterproofing Co.	2 - 8
New Hampshire Granite Co.	2 - 9 c
Western Structural Steel Co.	2 - 10

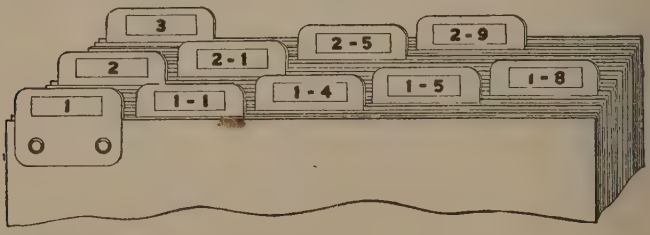
1091. The index should be consulted constantly as the work progresses, additional entries being made on the same card whenever possible, in preference to making out new cards. (See illustrations at top of page 236.)

1092. Regardless of how many jobs there may be, one class of work should always be designated by the same suffixed number as indicated in the specification grouping (see § 1076)



—i.e., "Excavation" should always be the number 7 file under any job—thus locating the contractor by the class of work.

1093. The arrangement of the material in the files would remain the same as it was when the files were operated alphabetically, except that the guides should carry the numbers instead of the names, using metal-tipped guides in five positions of tabbing, the first position for the job number and the subdivisions on the second, third, fourth, and fifth positions.



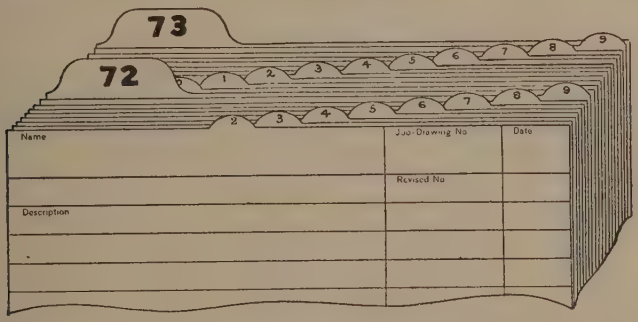
Specifications

1094. A number of copies of the specifications with such addenda as may be required, are made up in sets for each job, one approved set being filed with the signed contracts, the additional sets being filed according to the name or number of the job, and being issued as necessary to contractors and others in connection with the job.

Drawings

1095. As the drawings are made they are usually numbered, either consecutively or by a classification scheme bringing all drawings of a class together.

1096. When the drawings are numbered consecutively they are indexed on cards, one card per drawing. These cards are then filed behind a guide carrying the job number or name, arranged in consecutive order of numbers or else classified according to the nature of the drawing.



1097. If the classification plan is used, the index card is in the form of a register, a certain number of drawings of a given class being entered on one card or series of cards.

1098. As in the case of the specification grouping, the classification of drawings will depend largely upon the individual ideas of the architect, the following method being given as an illustration of the groups and method of assigning the numbers, this being subject to such revision as may be required to adapt it to a particular office.

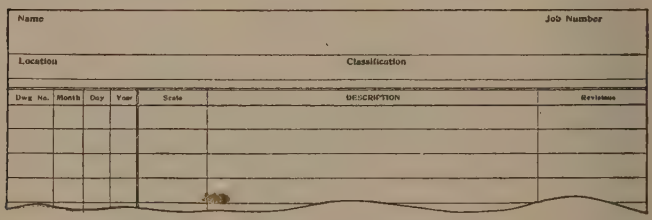
CLASSIFICATION OF DRAWINGS

1 to 99	Plans, elevations, sections, layout of grounds, and other general details at small scale.
100 to 199	Exterior scale drawings.

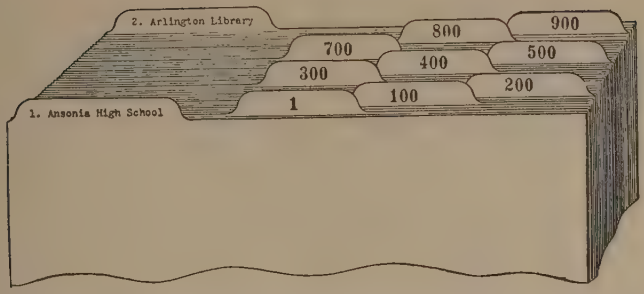
200 to 299 Exterior full-size details.
300 to 399 Interior scale plans, sections, and elevations.
400 to 499 Interior miscellaneous scale details.
500 to 699 Interior full-size details.
700 to 799 Unclassified miscellaneous drawings.
800 to 899 Structural steel drawings.
900 to 999 Heating, ventilating, and sanitary drawings.

1099. Numbering of Drawings. Under either plan the drawings carry a duplex number separated by a hyphen, the first number indicating the job, the second being the number of drawing on that job; e.g., 72 - 17 would indicate job number 72, drawing number 17.

1100. Index to Drawings. When the classified plan of numbering drawings is used, a card index or register should be maintained, one or more cards for each class of drawings, a card approximately 5 x 8 inches usually being the most satisfactory size.


Name
Job Number
Location
Classification
Dwg No. | Month | Day | Year | Scale | DESCRIPTION | Revisions

1101. The arrangement of the guides should be by job number, the number of the job and name of the client appearing on the tab of the guide, using a third-cut tab in first position as shown. The guides covering the classification are numbered by hundreds from 1 to 900 (omitting 600), using fifth-cut guides in the third, fourth, and fifth positions as shown.



1102. Filing of Drawings. Drawings may be filed in any one of three ways (with exception of full-size details, no drawings being folded):

(a) Flat, in drawers without folding.
(b) Flat, suspended from one edge in frames.
(c) Rolled, placed in tubes or pockets.

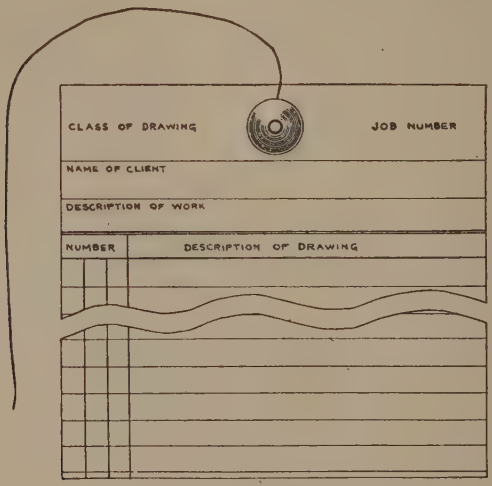
1103. When filed flat in drawers, one or more drawers are assigned to a job, as required, according to the number of drawings made on a job; or the drawings of several small jobs might be contained in one drawer, the outside of each drawer being labeled to correspond.

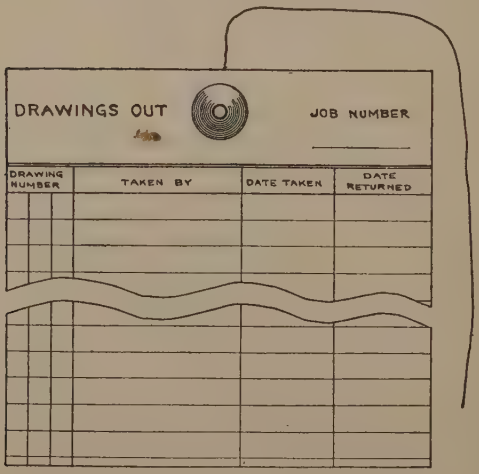
1104. Drawings suspended from one edge in frames should be designated by means of tags attached to the frames, the frames being placed in the racks either according to the name or the number of the job.

1105. If drawings are rolled, each roll should have a substantial tension tag wrapper on which should be listed the drawings contained in the roll, the reverse side of the tag being printed to allow for the recording of the numbers of drawings taken out for any reason.

1106. The most satisfactory tag for this purpose is 8 inches high by 5 inches wide, made of white linen tag stock, with a

tension button and string at the top as shown in the following illustrations:





1107. Full-Size Detail Drawings. Owing to their size, these are usually filed separately from the other drawings, being folded to a size that will permit of filing in either the legal-size file (10 x 15 inches) or the architectural size (11½ x 15 inches).

1108. The arrangement of these drawings should correspond to that maintained for all other drawings, first by job number or name and then by drawing number.

1109. Blue-Prints. With the exception of a set of blue-prints of the drawings on each job for reference purposes in the drafting room, very few blue-prints are filed by the architect, prints being made as required.

1110. *Exception.* This does not apply to *shop drawings* (blue-prints or drawings furnished by contractors or manufacturers showing what they propose to furnish on a given job), these usually being attached to and included with original drawings.

CHAPTER XXVIII

ARCHITECTURAL FILING (Continued)

Trade and General Files

1111. Correspondence and papers that do not relate to jobs should be filed in this group. The files should be of correspondence size and can be maintained either alphabetically or numerically as desired.

1112. Under either arrangement certain subject files should be opened, all material belonging to such groups being filed under the subject instead of the name. The following subjects are suggested as a partial list:

1113. Applications for Positions. Under this heading the following groups would be maintained:

(a) Office employees—stenographers, bookkeepers, clerks, boys, etc.
(b) Drafting room employees.
(c) Outside employees—superintendents, clerk of works, engineers, and architects (not to include consulting engineers or associate architects).

1114. Prospective Work. Papers or memoranda relating to prospective work that may develop at some later date into a job, should be filed under this title.

1115. If the job was obtained at a later date, all of these papers should be transferred to the file opened under the client's name or the title of the job.

1116. General Practice. All requests sent to or received from architects or engineers (including copies of the replies) as to general practice in handling a given subject, should be filed under this title.

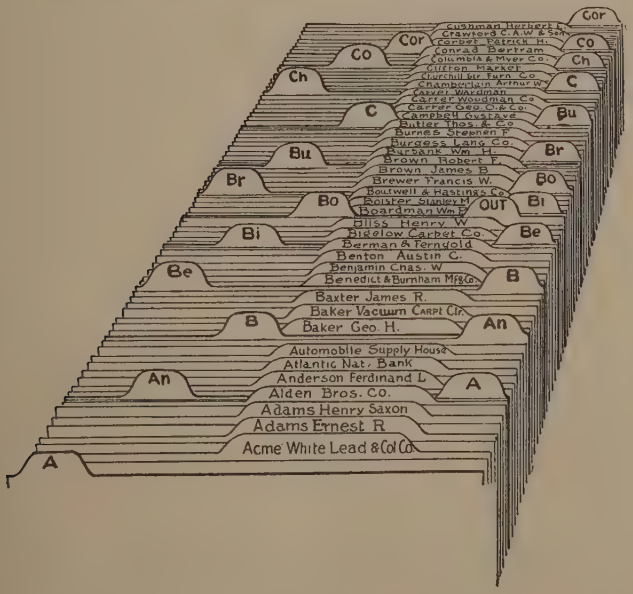
1117. Trade and Merchandise Files. Under the heading

of each trade or class of merchandise, a folder should be opened to contain such correspondence or advertising matter as may be considered desirable to save.

1118. Requests for opportunity to bid on certain classes of material or work in connection with some specific job are received in every architect's office, but such requests should not be filed in the job files merely because reference is made to a certain job by the applicant.

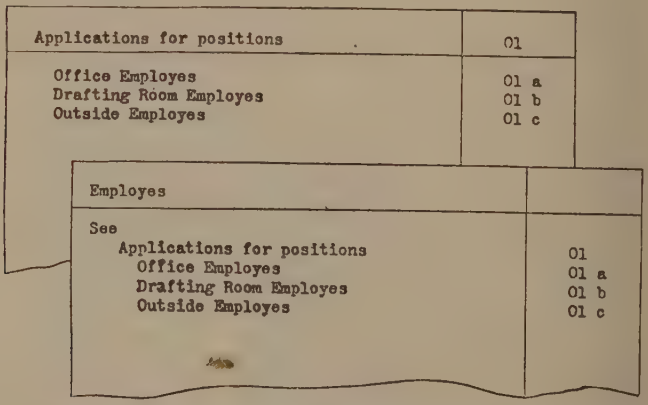
1119. If such letters or circulars are of sufficient importance to be kept, they should be filed according to the class of merchandise or service involved, disregarding the reference to a specific job.

1120. Alphabetic Filing. When this method of filing



is adopted, any standard type of alphabetic file may be used, preferably one having an arrangement of individual and miscellaneous folders behind the guides, the number of the guides to the set varying according to the volume of material to be filed (see § 266).

1121. Numeric Filing. If maintained under a numeric arrangement, a letter can be prefixed to the number to prevent confusing this file with the job file, index cards being made out for each name or subject, e.g., the first file would be 01, the next 02, index and cross-index cards being made out as required.



1122. While the files are maintained separately, the index cards covering the job and general files are filed together, using only one set of alphabetic guides. In filing these cards the fact that one card may refer to a job and the next to a folder in the general files is disregarded.

Catalogs and Price Lists

1123. The filing of this class of material is covered in Chapter XVII, the group numeric method described in §§ 733

to 742 usually proving the most satisfactory in the architect's office.

Library

1124. A considerable portion of the architect's library is made up of architectural plates, photographs, and drawings which should be available according to the class of building represented and the purpose for which it was erected.

1125. The following classification* can be used to advantage in filing such plates and photographs, using architectural-size files (vertical units) which will accommodate all such material not in excess of 12 x 15 inches.

CLASSIFICATION OF ARCHITECTURAL PLATES, PHOTOGRAPHS, AND DRAWINGS

General Divisions

1 ADMINISTRATIVE AND GOVERNMENTAL BUILDINGS
2 MONUMENTS
3 ECCLESIASTICAL AND RELIGIOUS BUILDINGS
4 EDUCATIONAL AND SCIENTIFIC BUILDINGS
5 SOCIETY BUILDINGS
6 RESIDENTIAL
7 RECREATION AND AMUSEMENT
8 BUSINESS AND COMMERCIAL
9 TRANSPORTATION AND STORAGE
10 MANUFACTORIES
11 BRIDGES

1126. Each of these groups is divided and subdivided as required, in the following manner:

1 ADMINISTRATIVE AND GOVERNMENTAL BUILDINGS
1 - 1 Capitols. Houses of Parliament. Legislative Buildings.
1 - 2 Ministries of War, State, etc. Governmental Departments and Office Buildings.

*This classification taken from "Arrangement of Photographs and Magazine Plates" by Sidney F. Kimball, in "Brickbuilder."

1 - 3 City and Town Halls.
1 - 4 Custom Houses. Excise Offices.
1 - 5 Court Houses.
1 - 5 a Registries of Deeds. Archive Buildings.
1 - 6 Post-Offices.
1 - 6 a Post-Office and Custom House combined.
1 - 6 b Post-Office and Court House combined.
1 - 6 c Post-Office, Custom House, and Court House combined.
1 - 7 Engine Houses.
1 - 7 a Fire Alarm Stations.
1 - 8 Military, Protective and Corrective.
1 - 8 a Barracks. Military Post Buildings.
1 - 8 b Armories. (See also 7 - 3 Riding Halls.)
1 - 8 c Arsenals.
1 - 8 d Police Stations.
1 - 8 e Penitentiaries. Jails.
1 - 8 f Reformatories for Adults.
1 - 8 g Reform Schools.
1 - 9 Hospitals, Asylums.
1 - 9 a Sick and Wounded. Incurables.
1 - 9 b Sanatoria.
1 - 9 c Insane. Feeble-Minded. Inebriates.
1 - 9 d Blind. Deaf and Dumb. (See also 4 - 1 g Day Schools for Defectives.)
1 - 9 e Almshouses.
1 - 9 f Aged. Convents, etc.
1 - 9 g Soldiers' Homes.
1 - 9 h Orphans. Children. Foundlings.

2 Monuments
2 - 1 Commemorative.
2 - 2 Funerary.
2 - 2 a Monuments proper.
2 - 2 b Tombs. Mausoleums.
2 - 2 c Receiving Vaults.

3 Ecclesiastical and Religious
3 - 1 Chapels, small.
3 - 2 Parish Churches.
3 - 3 Cathedrals.
3 - 4 Synagogues.
3 - 5 Parish Houses. Sunday School Buildings.

4 Educational and Scientific
4 - 1 Day Schools.
4 - 1 a Kindergartens.
4 - 1 b Primary Schools.
4 - 1 c Grammar Schools.
4 - 1 d High Schools.
4 - 1 e Normal Schools.
4 - 1 f Manual Training Schools.
4 - 1 g Schools for Defectives. (See also 1 - 9 d Asylums for the Blind, Deaf and Dumb.)
4 - 2 Boarding Schools.
4 - 3 Colleges. Universities.
4 - 4 Professional and Technical Schools not connected with a University.
4 - 4 a Theology.
4 - 4 b Law.
4 - 4 c Medicine.
4 - 4 d Science. Engineering.
4 - 4 e Art.
4 - 4 f Music.
4 - 5 Independent Scientific Institutions. Laboratories. Observatories.
4 - 6 Scientific Museums. Menageries.
4 - 7 Art Museums. Galleries.
4 - 8 Libraries.
4 - 9 Learned Societies. (See also 5 - 1 City Clubs, non-residential.)

5 Society Buildings
5 - 1 City Clubs, non-residential.

5 - 1 a Y. M. C. A., non-residential.
5 - 2 City Clubs, residential.
5 - 2 a Y. M. C. A., residential.
5 - 3 Suburban Clubs.
5 - 3 a Y. M. C. A., suburban.
5 - 4 Country Clubs.

6 RESIDENTIAL
6 - 1 Hotels, etc.
6 - 1 a City Hotels.
6 - 1 b Country Hotels.
6 - 1 c Restaurants. Cafes. Saloons. Bars. Raths-kellers.
6 - 2 Apartments. Tenements. (See also 8 - 3 Mixed Store, Office, and Apartment Buildings.)
6 - 3 Palaces and Palatial Private Houses. Embassies, etc. (Detached.)
6 - 4 City Houses in block. (Anything with one party wall or more.)
6 - 5 City Houses not in block.
6 - 6 Suburban Houses. Village Houses.
6 - 7 Country Houses.
6 - 7 a Farm Houses.
6 - 8 Cottages. Bungalows.
6 - 9 Outbuildings. Dependencies.
6 - 9 a City.
6 - 9 b City Stables, private.
6 - 9 c Garages.
6 - 10 Country. Farm Buildings.
6 - 10 a Gate and Porter's Lodges.
6 - 10 b Kitchens. Laundries. Dairies, etc.
6 - 10 c Stables. Kennels.
6 - 10 d Carriage Houses. Garages.
6 - 10 e Barns. Granaries. Ice Houses. Silos, etc.
6 - 10 f Conservatories. Greenhouses.
6 - 10 g Windmills. Water Towers.

7 Recreation and Amusement
7 1 Theatres. Opera Houses.
7 - 2 Concert Halls. Lecture Halls.
7 - 3 Rinks. Amphitheatres. Riding Halls and Schools. (See also 1 - 8 b Armories.)
7 - 4 Gymnasia. Turn Halls. Baseball Cages. (See also 5 - 1 a and 5 - 2 a Y. M. C. A.)
7 - 5 Baths, swimming and otherwise. Locker Buildings.
7 - 6 Buildings for Watering Places. Beach Bath Houses.
7 - 7 Buildings for Parks.
7 - 8 Boat Houses.
7 - 9 Stadia.

8 Business and Commercial
8 - 1 Markets.
8 - 2 Stores, wholesale and retail.
8 - 3 Mixed Store, Office, and Apartment Buildings.
8 - 3 a Stores and Offices.
8 - 3 b Stores and Flats.
8 - 3 c Offices and Flats.
8 - 3 d Stores with Halls or Meeting Rooms.
8 - 4 Office Buildings.
8 - 4 a Low.
8 - 4 b High, steel construction.
8 - 5 Banks. Trust Companies. Safe Deposit Vaults.
8 - 5 a Bank and Office.
8 - 6 Exchanges. Boards of Trade. Clearing Houses.

9 Transportation and Storage
9 - 1 Railway Passenger Stations.
9 - 1 a Way Stations.
9 - 1 b City.
9 - 1 c Country.
9 - 1 d Terminal Stations.
9 - 2 Street Railway Stations.
9 - 2 a Surface Stations.
9 - 2 b Elevated Stations.

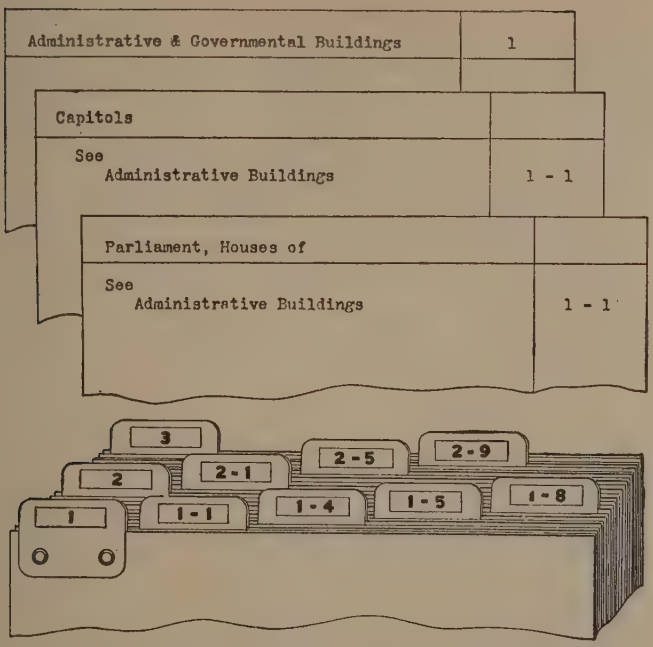
9 - 2 c Subway Stations.
9 - 3 Wharf and Dock Buildings.
9 - 3 a Ferry Houses. Buildings for Passengers. Immigrant Stations.
9 - 3 b Dock Buildings for Freight, etc.
9 - 4 Railway Freight Houses.
9 - 5 Warehouses—bonded, storage, etc. Cold storage.
9 - 6 Grain Elevators. Coal and Ore Docks.
9 - 7 Railway Roundhouses. Car Barns, etc.
9 - 7 a Roundhouses.
9 - 7 b Car Barns.
9 - 8 Signal Towers.

10 Factories, etc.
10 - 1 Mill-Construction Buildings, for whatever use.
10 - 2 Power Stations.
10 - 3 Abattoirs.
10 - 4 Laundries.

11 Bridges
11 - 1 Wood.
11 - 2 Masonry. (Stone, brick, concrete, etc.)
11 - 3 Steel and Iron.
11 - 3 a Simple Truss.
11 - 3 b Cantilever.
11 - 3 c Arch.
11 - 3 d Suspension.

1127. An alphabetically arranged subject index should be made up covering this classification, either in card index or visible index form, and be maintained separately from all other indexes. (See first illustration on page 251.)

1128. In filing these plates, etc., metal-tipped guides should be used in fifths, the first position being reserved for the class or group, and the remaining four positions being staggered to cover the divisions and subdivisions, using the numeric designations, as shown in last illustration on page 251.



1129. In event of there being no material to file under certain divisions or subdivisions, no guides are inserted for the missing groups, it being possible to insert as needed additional guides with the metal tip in any required position, the labels being shifted to conform to the changes made.

1130. If it is found advisable to make any changes in this classification, a set of accession sheets should be written to cover such revisions, following the plan described in §§ 647 to 652.

1131. The practicability of developing the library into information and data files will depend largely upon the requirements of the individual office, the amount of material, and the reference to such material.

1132. The method of establishing files of this character is described in Chapter XVI, "Information and Data Files," the detail covering the handling of periodical literature being described in §§ 656 to 663, and bound literature in §§ 664 to 667, and 690 to 714.

Receiving and Delivery Records

1133. In order to keep track of drawings, prints, specifications, samples, and other material received and sent out of the architect's office in connection with each job, records must be maintained so that these items can be looked up either according to the job or the name of the individual or concern involved.

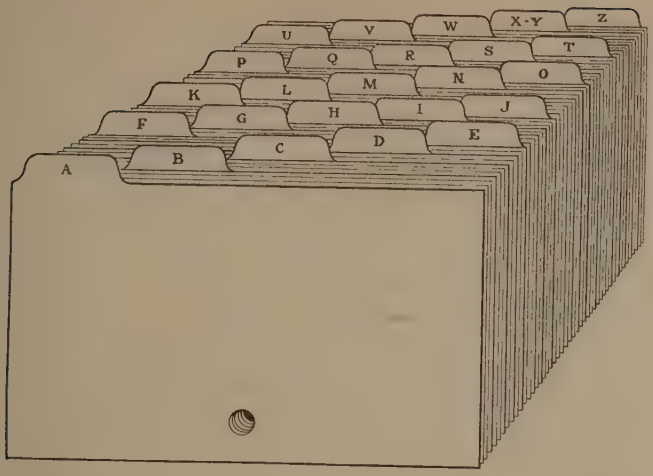
1134. Receiving Records. Drawings, prints, specifications, or samples as they are received should be recorded on receiving slips in duplicate, numbered consecutively, one set of receipts being used for each item or set of items on a job:

Receipt No.	Received by	Date	Job Number
2573	A. J. R.	July 27, 14	72
Received from	American Blue Print Co.		

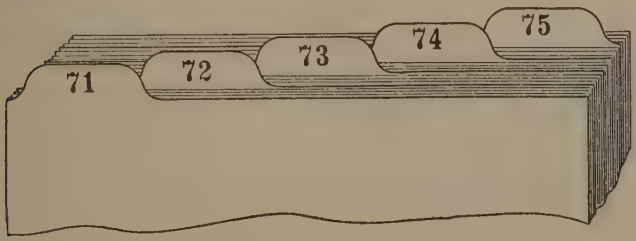
QUANTITY	DESCRIPTION	DISPOSITION
3	Dwgs. 1 ea. # 201, 202, 307	Files
6	B.P. 2 ea. " " title	Drafting Room

Library Bureau N717b

1135. The original copy of the receiving slip should be filed alphabetically according to the name of the individual or the organization making the delivery.



1136. The duplicate carbon copy should be filed numerically by job number and then chronologically by date of the receipt.



1137. Operated in this manner access is afforded to the records of all items received, both by job number and the name of the individual or organization making the delivery.

1138. Delivery Records. Applying the same method as described for the maintenance of the receiving records, delivery slips should be made out in duplicate covering the

Delivered to						Job Number
Anderson Contracting Co.						72
Mail		Express		Our Messenger B	Their Messenger	Date 5/18/15

DWGS.	TRA.	B. P.	SPEC.		
		72			
			1		
				4 samples	

} Three (3) packages

Library Bureau N71718

drawings, prints, specifications, samples, and other material forwarded to clients, contractors, manufacturers, etc.

1139. These slips are filed in the same manner as the receiving records, the original according to the name of the person or organization to which delivery was made, the duplicate by job number as described in §§ 1135, 1136, but maintained separately from the receiving records.

1140. RECEIPTS. Some architects require receipts covering

Name of Job					Date	Job Number
To						
Items listed below have been forwarded to the above.						
Originals	Tracings	B.P.	F.S.D.	Sets Spec.	DESCRIPTION	

Receipt Number	Mail	Express	Our Messenger	Their Messenger
2112				

all drawings and other material issued, in which event the original copy is on paper, and the duplicate or carbon copy on a card which can be printed on the reverse side with the return address, so that it can be mailed back as a postal card when the material is sent by mail or express.

1141. The original copy (on paper) is filed alphabetically according to the name of the person or organization to which delivery was made, but is removed and re-filed by job number as soon as the signed receipt is returned, the latter being filed alphabetically in place of the paper slip.

Name of Job					Date	Job Number
To						
RECEIVED OF (Insert name of Architect) the following items :						
Originals	Tracings	B.P.	F.S.D.	Sets Spec.	DESCRIPTION	
Receipt Number 2112					RECEIVED BY _____	

1142. Collection of Papers. The method of collecting papers for filing differs somewhat from that employed in mercantile houses, some person thoroughly familiar with the essential details of each job and the procedure in handling such work being required to check all papers before they are filed.

1143. The individual selected to pass on papers may vary in different architects' offices, depending upon the size of the office and the conditions under which it is operated, the office manager or superintendent usually being the one to handle these papers.

1144. The points from which general collection of papers is made, having been defined, the papers obtained from these points each morning are deposited in the receiving tray or basket of the office manager, who initials or stamps each paper to indicate that it has received the necessary attention and can be filed.

1145. The number of collection points in the drafting room may vary, depending upon the plan under which that room is operated.

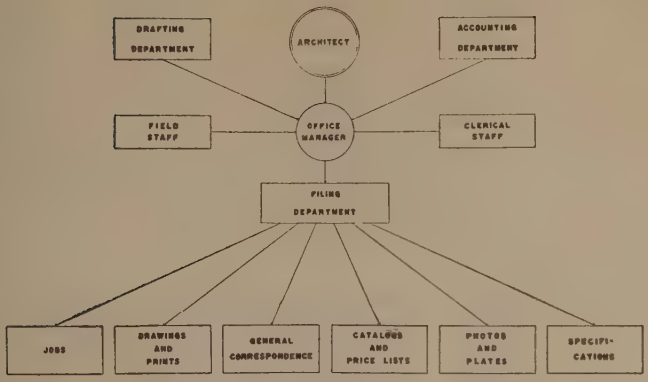
1146. If there is a chief draftsman in charge, all papers would ordinarily be collected from his desk and deposited in the receiving tray or basket of the office manager.

1147. When the plan of "captaining a job" is employed —i.e., one man in the drafting room being placed in complete charge of the drafting work on a certain job, all other men working on that job being subject to his orders, and the next job being captained by a different man under similar conditions—it will be necessary to collect papers from the file basket or tray of each captain handling a job, the papers going to the office manager as in the first case.

1148. *Exception.* In some instances it may be desirable to permit papers from certain individuals to go direct to the files, such exception being provided for in the instructions to the file clerk.

1149. The various points in the office from which collections are to be made and the routine involved, can be covered by means of written instructions supplemented by a chart showing such routine in graphic form if considered desirable. (See chart on page 257.)

1150. TRANSFERRING. Papers relating to a job should not be removed from the current files to transfer drawers or boxes until such transfer is approved by either the office manager or someone else in authority.



1151. At regular intervals (whatever period suits the requirements of the office) a list of completed jobs should be submitted by the file clerk to the office manager (listing the job number, name of the client, or title of the job), the items not to be transferred being crossed off by him and the list signed approving the transfer of the remaining items.

1152. FOLLOW-UP. The follow-up or tickler work in the office can be handled in accordance with the method described in §§ 285 to 290.

CHAPTER XXIX

FILES OF AN ACCOUNTANT

1153. In many ways the services rendered by the accountant and the records maintained by him very closely parallel those of the architect or engineer.

1154. The divisions of the files in an accountant's office can usually be made along the following lines:

(a) Clients' files, containing correspondence with clients, working papers, reports covering audits or investigations made, and record of consultations.

(b) General correspondence, including bills for rent, telephone, telegraph, office supplies and stationery, applications for positions, excluding all papers relating to clients' affairs.

(c) Information and data files, including catalogs, also bound and periodical literature in the library unless otherwise provided for by the employment of a regular librarian.

Filing of Papers

1155. The size of the file used will depend upon the size of the working papers and the size and form of the report used by the individual accountant.

1156. When reports to clients are made up in approximately the same form as legal documents, the papers being bound into a cover at the top edge, the legal-size file (allowing for filing up to $9\frac{1}{2} \times 15$ inches) will be required.

1157. Some accountants have found it practicable to make up their reports in a form that will permit of the use of either $8\frac{1}{2} \times 11$ inch paper, or paper that can be folded into that size after being written.

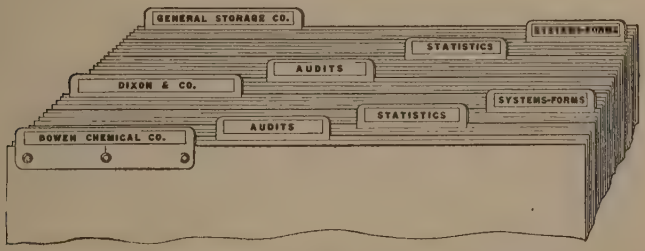
1158. This arrangement permits of the report being bound into a cover from the side so that it can be handled like the average book or pamphlet.

1159. When handled in this manner reports, etc., should be filed in correspondence-size files (allowing for filing papers up to 9 x 11½ inches), accomplishing a saving both in space and the cost of filing equipment and supplies.

Alphabetic Filing

1160. Clients' Files. This section of the files is handled on the same basis as in other professional lines, the client being the first unit, and material relating to audits, investigations, etc., for that client being treated as sub-units.

1161. A satisfactory arrangement of the files can be obtained by using a third-cut metal-tip guide in the first position at the left for the names of the clients, subdivisions being made behind each client's guide for audits, statistics, systems and forms, by using fifth-cut metal-tip guides in the third, fourth, and fifth positions.



1162. Folders should be inserted as required behind each of these guides, the one behind the guide bearing the name of the client to contain correspondence with the client, bills rendered, etc.

1163. Working papers covering audits can be filed in folders or envelopes (if the latter are preferred) either with

the report or separately, as desired, the notation on the top edge of the folder or envelope carrying the name of the client and the period that the audit or investigation covers.

1164. Behind the guide labeled "Statistics" one or more folders would be used containing such information as the accountant considers desirable to work up in connection with the client's business, for making comparisons from one year to another, such as purchases, sales, turnover, operating expenses.

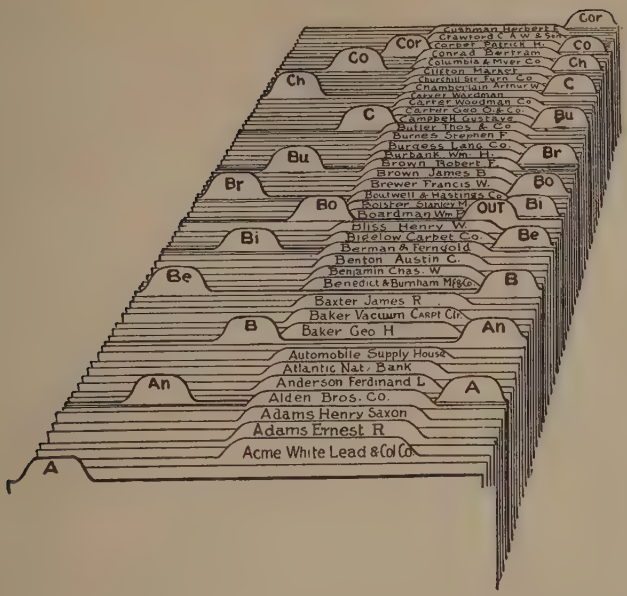
1165. Behind the guide labeled "Systems-Forms," folders can be maintained in the same manner containing records of the systems in use, with such samples of the forms as may be required.

1166. The divisions maintained for each client as well as the number of folders or envelopes required behind a guide will vary according to the requirements of the individual office and the nature of the service rendered the particular client.

1167. A file or set of files covering a new client would be inserted in alphabetic order (of the client's name), using a set of guides as described in § 1161.

1168. General Correspondence. The material covered by this division can be satisfactorily handled by means of an alphabetic file maintained as shown in the illustration on page 261, using individual folders for such correspondence or material requiring same because of importance or bulk, the balance being filed in the miscellaneous folders. (See Chapter VI, "Direct Alphabetic Filing.")

1169. Information and Data Files. It is seldom that this division of the files can be maintained satisfactorily under an alphabetic arrangement, although there will be instances where this method can be used for some time in the smaller organizations or in instances where the material does not run into volume.



1170. If it is considered advisable to maintain this division alphabetically, the plan described in §§ 414 to 421 (subject filing) can be used, supplemented by cross-reference cards as shown in § 436.

1171. Owing to the fact that accounting and systematizing material frequently relates to diversified subjects, folders should be maintained under each subject, a cross-reference sheet or card, indicating where the material is filed, being inserted in the folders containing the related subjects.

1172. Books, periodicals, and catalogs are referred to in the same manner, using the index or accession number of the book if it is cataloged and filed; otherwise the reference must be by name of the author, title of the book, and page

for bound literature; or the title of the article, name of the periodical, volume number, and page for periodical literature.

1173. While it is possible to maintain these files under an alphabetic arrangement, the advantages gained by handling them under a numeric arrangement in all three divisions will, in the majority of cases, amply offset the extra work involved.

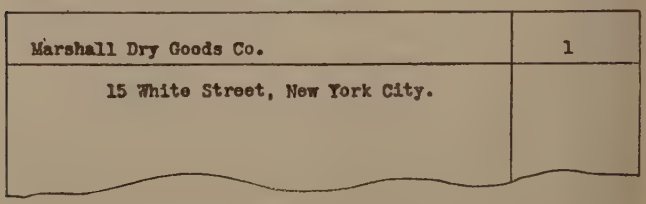
Numeric Filing

1174. INDEXES. Two indexes should be maintained covering the three divisions of the files, one for the clients' and general divisions, and the other for the information and data files, both indexes being arranged alphabetically.

1175. With two distinct indexes arranged in this manner, it will only be necessary to distinguish between references to the general and clients' files by prefixing a letter to the numbers used in designating the general files, the numbers of the clients' files being used without any prefix.

1176. As the numbering in the clients' and the information and data files may conflict to a small degree in cross-referencing between the two files, all references to the clients' files should have the letter "C" prefixed to the number of the file whenever any references are entered in the information and data files.

1177. CLIENTS' FILES. As commissions are received each client is assigned a number in consecutive order starting with number 1, a folder bearing the corresponding number being placed in the files, this folder containing all papers and correspondence of a general character.



1178. If the client authorizes an audit of the books, say for the year 1913, an additional entry is made on the index card which would then read:

Marshall Dry Goods Co. 15 White Street, New York City.	1
Audit of Books, 1913	1 - 1

1179. A second folder or envelope is filed immediately behind the general folder of the client, being numbered 1 - 1, in which are placed all papers pertaining to the audit of 1913 business, these usually including a copy of the audit report and the working papers.

1180. *Exception.* When it is found desirable to file the working papers separately owing to their bulkiness or a preference that all working papers be kept out of the clients' files, the number assigned to the audit can be marked on the envelope containing the working papers, these envelopes being filed in the same rotation as maintained in the clients' files.

1181. In the illustration used and with other items of similar nature, no cross-indexing is required, but there are other types of service that frequently involve outside parties, and in such instances it will be necessary to cross-index.

1182. For instance, in making the audit report to the client a recommendation might have been included that an appraisal be made of the entire plant.

1183. The acceptance of the recommendation by the client, authorizing the accountant to arrange for the appraisal, might be treated as a new commission, the entry on the index card being made:

Marshall Dry Goods Co.	1
15 White Street, New York City.	
Audit of Books, 1913	1 - 1
Appraisal _____ Appraisal Co., 1914	1 - 2

1184. This necessitates a cross-index card being made out for the _____ Appraisal Co., reading:

_____ Appraisal Co.	
New York City.	
See Marshall Dry Goods Co.(Appraisal 1914)	1 - 2

1185. A folder or envelope would be marked with the number assigned, 1 - 2, all papers pertaining to the appraisal being put in this folder, which would then be filed behind the folder bearing the preceding number for the same client.

1186. In event of the client authorizing another audit of the books for the succeeding year, an additional entry would be made on the index card, which would then read:

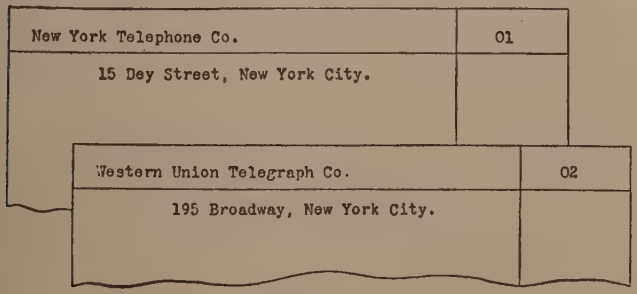
Marshall Dry Goods Co.	1
15 White Street, New York City.	
Audit of Books, 1913	1 - 1
Appraisal_____ Appraisal Co., 1914	1 - 2
Audit of Books, 1914	1 - 3

1187. Index cards for other clients would be made out in like manner, cross-indexing whenever the name of an individual or an organization other than the client enters into the proposition.

1188. These index cards are then arranged alphabetically in card index trays, filing according to the title or first line entry on each card.

1189. General Correspondence. This division of the files should contain all papers, correspondence, bills (paid), applications for positions, etc., excluding all papers relating to clients or services rendered to them, also any material that might be classed as information or data.

1190. Maintained separately from the clients' files, the folders in this division should be numbered from 1 up consecutively, with a letter of the alphabet prefixed to distinguish them from the clients' files, all of the index cards

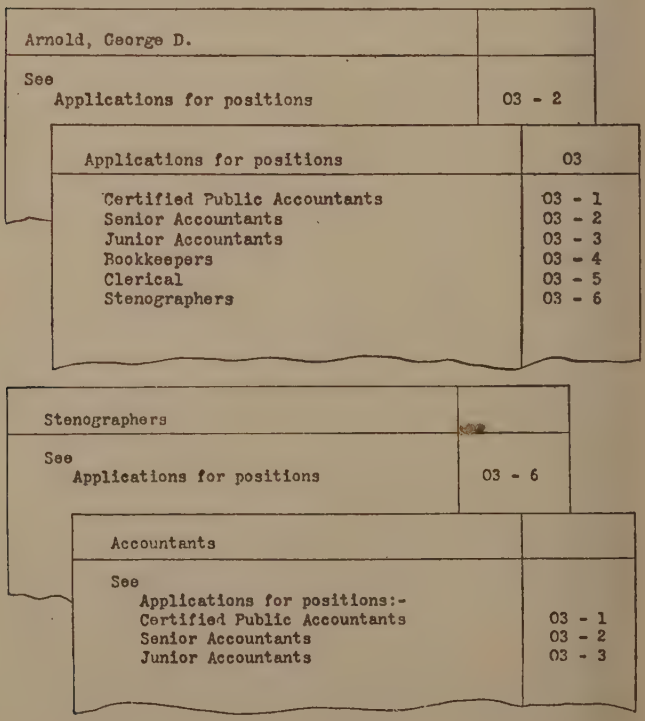


(See § 1191.)

covering both divisions being filed behind one set of guides as indicated in § 1174, disregarding the nature of the reference.

1191. Index cards are made out as required for each name or subject, with additional cards for cross-indexing when necessary. (See illustration at bottom of page 265.)

1192. When letters from a number of individuals are filed under the title or subject, the index card is made out for the subject heading and cross-index cards for each name involved, as shown in the following first two illustrations.



1193. Cross-index cards should also be made out covering the subheadings, each card being filed in its proper alphabetic sequence. (See last two illustrations on page 266.)

1194. Information and Data Files. When maintained under numeric arrangement, this division of the files can be operated to the best advantage along the lines described in Chapter XVI, "Information and Data Files."

1195. As indicated in connection with the classifications given in other chapters covering the filing of professional records, any classification would be subject to more or less revision on the part of the individual accountant according to the scope of his work and field in which he is specializing.

1196. The following classification has been prepared as an illustration of the method of working out such classifications, and it may be possible to use it as a basic outline, filling in additional items as the material for this division of the files is accumulated.

1197. No claim is made that it is either ideal or complete, it being suggested that additions and possibly revisions may be necessary prior to acceptance as a standard classification, or to bring it up to the requirements of an individual office.

Classification

Information and Data Files for Accountants

General Divisions

1 Accounting – Auditing
2 Bibliography
3 Banking
4 Money and Exchange
5 Investment – Speculation
6 Extractive
7 Purchasing
8 Production

9 Cost Accounting
10 Distribution
11 Public Service
12 Associations and Institutions
13 Commercial – Industrial Organizations
14 Real Estate
15 Insurance
16 Publishers
17 Government, National
18 Government, State
19 Government, County
20 Government, Municipal
21 Office Appliances
22 Exports
23 Imports
24 Professions
25 Corporations
26 Efficiency
27 Indexing – Filing
28 Administration, General
29 Administration, Employees

1198. Each of these general divisions are divided and subdivided as required in the following manner:

1 Accounting – Auditing
1 - 1 Terminology and Definitions.
1 - 2 Bookkeeping.
1 - 2 a Single-Entry.
1 - 2 b Double-Entry.
1 - 3 Cash.
1 - 3 a Petty Cash (Imprest).
1 - 4 Journals.
1 - 5 Ledgers.
1 - 5 a Boston.
1 - 5 b Loose-Leaf.
1 - 5 c Card.
1 - 6 Valuations – Appraisals.

1 - 6 a Inventories.
1 - 7 Depreciation.
1 - 8 Capital.
1 - 8 a Net Worth.
1 - 9 Profit and Loss.
1 - 9 a Revenue.
1 - 9 b Expense.
1 - 9 c Service.
1 - 10 Interest.
1 - 11 Discount.
1 - 12 Accounts Receivable.
1 - 12 a Sales Invoicing.
1 - 12 b Statements.
1 - 13 Accounts Payable.
1 - 13 a Voucher Systems.
1 - 14 Negotiable Instruments.
1 - 14 a Checks.
1 - 14 b Bills of Exchange.
1 - 14 c Certificates of Deposit.
1 - 14 d Notes, Promissory.
1 - 14 e Bills of Lading.
1 - 15 Non-negotiable Instruments.
1 - 16 Controlling Accounts.
1 - 17 Reserves.
1 - 18 Budgets.
1 - 19 Good-Will.
1 - 20 Burden.

2 BIBLIOGRAPHY
2 - 1 Journal of Accountancy.
2 - 2 Engineering Magazine.
2 - 3 U. S. Treasury Decisions.
2 - 4 American Statistical Association (Quarterlies).
2 - 5 National Municipal Review (Quarterlies).
2 - 6 Journal of Political Economy.
2 - 7 National Association of Credit Men Bulletins.

3 BANKING
3 - 1 Federal Reserve Board.
3 - 2 Federal Reserve Banks.
3 - 3 National Banks.
3 - 4 State Banks.
3 - 5 Trust Companies.
3 - 6 Savings Banks.
3 - 6 a Postal Savings Banks.
3 - 6 b School Savings Banks.
3 - 7 Private Banks.
3 - 8 Building and Loan Associations.
3 - 9 Clearing Houses.

4 MONEY AND EXCHANGE
4 - 1 Monetary Standards of the World.
4 - 2 Mediums of Exchange.
4 - 3 Foreign Exchange.
4 - 4 Domestic Exchange.

5 INVESTMENT – SPECULATION
5 - 1 Stock Exchanges.
5 - 2 Produce Exchanges.
5 - 3 Coffee Exchange.
5 - 4 Cotton Exchange.
5 - 5 Metal Exchanges.
5 - 6 Stocks.
5 - 7 Bonds.
5 - 7 a Debenture.
5 - 7 b Municipal.

6 EXTRACTIVE
6 - 1 Mining.
6 - 1 a Coal, Anthracite.
6 - 1 b Coal, Bituminous.
6 - 1 c Copper.
6 - 1 d Silver.
6 - 2 Agriculture.
6 - 2 a Farming.
6 - 2 b Dairies.

7 PURCHASING

8 PRODUCTION

9 COST ACCOUNTING

10 DISTRIBUTION
10 - 1 Marketing.
10 - 1 a Direct.
10 - 1 b Agency.
10 - 1 c Mail Order.
10 - 1 d Consignment.
10 - 1 e Delivery.
10 - 1 f Pricing.
10 - 1 g Records.
10 - 2 Advertising.

11 PUBLIC SERVICE
11 - 1 Railroads.
11 - 1 a Steam Railroads.
11 - 1 b Electric Railroads.
11 - 2 Navigation.
11 - 3 Electric Light and Power.
11 - 4 Telephone.
11 - 5 Telegraph.
11 - 6 Gas.
11 - 7 Water.
11 - 8 Cemeteries.

12 ASSOCIATIONS AND INSTITUTIONS
12 - 1 Educational.
12 - 1 a Alumni.
12 - 2 Hospitals.
12 - 3 Charitable and Social Service.
12 - 4 Trade Associations.
12 - 5 Employees' Associations.
12 - 5 a Labor Organizations.
12 - 6 Fraternities.

13 COMMERCIAL – INDUSTRIAL ORGANIZATIONS
13 - 1 Textiles.
13 - 1 a Cotton.
13 - 1 b Silks.
13 - 1 c Woolens.
13 - 1 d Converters.
13 - 1 e Shrinkers.
13 - 1 f Bleachers.
13 - 2 Storage.
13 - 2 a Free Warehouses.
13 - 2 b Bonded Warehouses.
13 - 2 c Household.
13 - 2 d Cold Storage.
13 - 2 e Grain Elevators.
13 - 2 f Coal Pockets.
13 - 2 g Safe Deposit.
13 - 3 Wearing Apparel—Men.
13 - 4 Wearing Apparel—Women and Misses.
13 - 5 Wearing Apparel—Children.
13 - 6 Wearing Apparel—Infants.
13 - 7 Laces and Embroideries.
13 - 8 Paints and Varnishes.
13 - 8 a Bronze Powders and Paints.
13 - 9 Foundries.
13 - 10 Breweries.
13 - 11 Vehicles.
13 - 11 a Automobiles.
13 - 11 b Auto Trucks (Commercial).
13 - 11 c Motorcycles.
13 - 11 d Wagons and Carriages.
13 - 11 e Bicycles.

14 REAL ESTATE
14 - 1 Real Estate Accounting.

15 INSURANCE
15 - 1 Life.

15 - 1 a Mutual.
15 - 1 b Association.
15 - 1 c Fraternal.
15 - 2 Accident and Health.
15 - 3 Fire.
15 - 4 Marine.
15 - 5 Boiler.
15 - 6 Elevator.
15 - 7 Liability.
15 - 7 a Public.
15 - 7 b Employers'.
15 - 8 Automobile.
15 - 9 Burglary.
15 - 10 Title.
15 - 11 Plate Glass.
15 - 12 Fidelity (Bonding).

16 PUBLISHERS
16 - 1 Newspapers.
16 - 1 a Morgue (Clipping files).
16 - 2 Magazines.
16 - 3 Books.

17 GOVERNMENT, NATIONAL
17 - 1 Executive.
17 - 2 Legislative.
17 - 2 a Senate.
17 - 2 b House of Representatives.
17 - 2 c Library of Congress.
17 - 3 State Department.
17 - 3 a Consular Service.
17 - 4 War Department.
17 - 5 Navy Department.
17 - 6 Post-Office.
17 - 7 Department of the Interior.
17 - 8 Treasury Department.
17 - 8 a Customs.
17 - 8 b Internal Revenue.

17 - 8 c Income Tax.
17 - 9 Department of Agriculture.
17 - 10 Department of Commerce.
17 - 11 Department of Justice.
17 - 12 Department of Labor.
17 - 13 Interstate Commerce Commission.

18 GOVERNMENT, STATE
18 - 1 Executive.
18 - 2 Legislative.
18 - 3 Department of Health.
18 - 4 Department of Education.
18 - 5 Public Service Commission.
18 - 5 a First District.
18 - 5 b Second District.

19 GOVERNMENT, COUNTY

20 GOVERNMENT, MUNICIPAL
20 - 1 Executive.
20 - 2 Legislative.
20 - 3 Police Department.
20 - 4 Fire Department.
20 - 4 a Bureau of Fire Prevention.
20 - 4 b Bureau of Combustibles.
20 - 4 c Fire Alarm Telegraph.
20 - 4 d Training School.

21 OFFICE APPLIANCES
21 - 1 Adding Machines.
21 - 2 Calculating Machines.
21 - 3 Bookkeeping Machines.
21 - 4 Billing Machines.
21 - 5 Addressing Machines.
21 - 6 Duplicating Machines.
21 - 6 a Stencil.
21 - 6 b Gelatine.
21 - 6 c Typesetting.

21 - 7 Folding, Sealing, Stamping Machines.
21 - 8 Tabulating Machines.
21 - 8 a Hollerith.
21 - 8 b Powers.
21 - 9 Phonographs (Commercial).
21 - 10 Office Furniture.
21 - 11 Filing Equipment.

22 EXPORTS
22 - 1 Packing Requirements—Foreign.
22 - 2 Shipping Requirements—Foreign.
22 - 3 Consular Invoices.
22 - 4 Foreign Custom House Regulations.
22 - 5 Banking, Drafts.

23 IMPORTS
23 - 1 Duties, Tariffs.
23 - 1 a Drawbacks.
23 - 2 Custom Houses.
23 - 2 a Public Stores.
23 - 2 b Bonded Warehouses.

24 PROFESSIONS
24 - 1 Accountants.
24 - 2 Architects.
24 - 2 a Landscape.
24 - 2 b Naval.
24 - 3 Engineers.
24 - 3 a Civil.
24 - 3 b Mechanical.
24 - 3 c Electrical.
24 - 3 d Industrial.
24 - 3 e Efficiency.
24 - 4 Attorneys.
24 - 5 Physicians and Surgeons.
24 - 5 a Dentists.
24 - 5 b Oculists.
24 - 5 c Veterinaries.

25 CORPORATIONS
25 - 1 Accounting.
25 - 1 a Income Tax Reports.
25 - 2 Holding Companies.
25 - 3 Mergers.
25 - 4 Capital Stock.
25 - 4 a Common Stock.
25 - 4 b Preferred Stock.
25 - 4 c Dividends.
25 - 4 d Underwriting.

26 EFFICIENCY

27 INDEXING – FILING

28 ADMINISTRATION, GENERAL

29 ADMINISTRATION, EMPLOYEES

1199. In developing any classification of this character, care should be taken to avoid a common mistake, i.e., attempting to consolidate too much material into any one group, as experience has shown that better results can be obtained in many instances by splitting some subjects into two or more classes, as evidenced in the foregoing classification where Government is divided into four groups, National, State, County, and Municipal.

1200. In files of this type pertaining to accounting and kindred subjects, it will be found that a great deal of the material is too bulky to be contained in the folders (books, periodicals, pamphlets, year books, etc.); consequently any number of folders may only contain one or more cross-reference cards or sheets indicating the location of the material referred to.

1201. With the subjects, divisions, and ramifications properly indexed as described in §§ 653 to 660, and the cross-referencing carried out in accordance with §§ 661 to 663, the establishment of this division of the files will have been accom-

plished. The details should be carried out in accordance with Chapter XVI, "Information and Data Files," in which the foregoing references appear.

Tickler or Follow-up Files

1202. Practically every public accountant finds it necessary to keep track of various dates in connection with work to be done or reports to be made up for clients at stated intervals, such as income tax reports for individuals, partnerships, and corporations, etc.

1203. It is suggested that provision be made for this in accordance with §§ 285 to 290, carrying tickler cards pertaining to matters recurring at definite dates forward from one year or period to the next.

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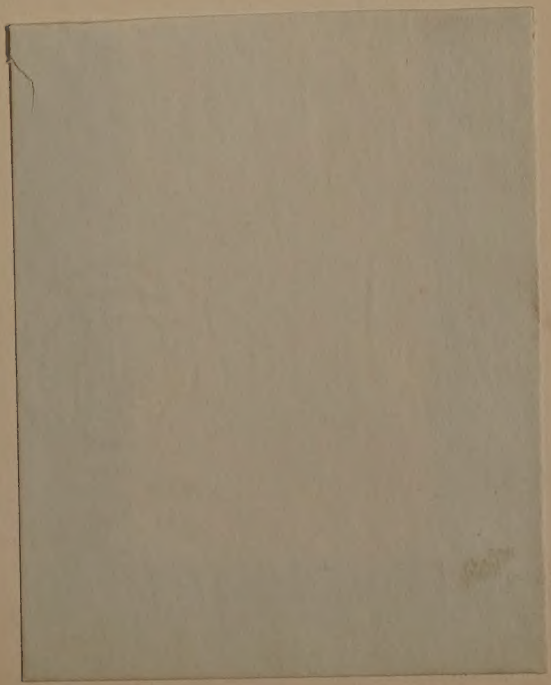

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